# DOCUMENT RESUME

ED 361 477 CE 064 357

TITLE Schools behind Bars: Windham School System and Other Prison Education Programs. A Performance Review.
INSTITUTION MGT of America, Inc., Tallahassee, FL.
SPONS AGENCY Texas State Comptroller of Public Accounts, Austin.
PUB DATE Dec 92
NOTE 605p.
PUB TYPE Reports - Evaluative/Feasibility (142) -- Tests/Evaluation Instruments (160)

EDRS PRICE MF03/PC25 Plus Postage.
DESCRIPTORS Adult Education; *Correctional Education; *Cost Effectiveness; Costs; Educational Administration; Educational Certificates; Educational Environment; Educational Facilities; Educational Finance; High School Equivalency Programs; Money Management; Personnel Management; Prisoners; *Program Effectiveness; *Program Improvement; Secondary Education; State Programs; Student Certification
IDENTIFIERS *Texas

ABSTRACT

This report presents results of a performance review undertaken to develop recommendations for improving the effectiveness of the Windham School System (WSS) and educational programs in the four privately operated prison units in Texas. (WSS provides educational programs for inmates who do not possess a high school diploma.) Chapter 1 is an introduction. Chapters 2-4 provide an overview of the Texas corrections education program, methodology for assessing WSS and contracts with the two private corporations providing educational services, and results of surveys of wardens, principals, professional education staff, inmates, and employers. Chapter 5 examines program effectiveness. Chapters 6-11 contain the review of each of six systems of prison education operations: organization and management, educational delivery, financial management, personnel management and development, technology management, and administrative and operational services. Each chapter describes the current situation and provides the following: (1) findings (exemplary programs and opportunities for improvement); (2) recommendations; (3) cost savings; and (4) implementation strategies. Chapter 12 summarizes the costs and cost savings that are recommended. Appendixes include onsite audit instruments, survey results, standards for adult and juvenile correctional education programs, technology management recommendations, and list of recommendations for the Texas Prison Education System. (YLB)

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## *A Performance Review*

# SCHOOLS BEHIND BARS: WINDHAM SCHOOL SYSTEM

## AND OTHER PRISON EDUCATION PROGRAMS

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TEXAS COMPTROLLER OF PUBLIC ACCOUNTS

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# TEXAS PERFORMANCE REVIEW

# *MANAGEMENT AND PERFORMANCE REVIEW OF THE TEXAS PRISON EDUCATION SYSTEM*

*SUBMITTED TO:*

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TEXAS COMPTROLLER OF PUBLIC ACCOUNTS

*SUBMITTED BY:*

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DECEMBER 1992

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Appendix F - Technology Management Recommendations, Implementation Strategies, and Financial Impact
Appendix G - List of Recommendations for the Texas Prison Education System

# *EXECUTIVE SUMMARY*

# EXECUTIVE SUMMARY

On June 22, 1992, the Texas Comptroller of Public Accounts contracted with MGT of America, Inc., in association with Mark D. Corrigan Associates and Neal & Associates, to conduct a management and performance audit of the Windham School System (WSS). The goal of the Comptroller in conducting this audit was to provide "Better Education through Cost Efficiency". To achieve this goal, the Comptroller required the following scope of work:

- Determine whether sufficient and correct administrative and support resources are available for the educational process.
- Ensure adequate resources so as to not impair the educational process.
- Ensure that these resources are utilized in the most effective and cost efficient manner.

## *Composition of Management Review Team*

Because of the unique nature of the Windham School System (WSS), the 19-member team that conducted the management and performance review was a well-balanced mix of national experts in the fields of education and corrections. MGT of America, one of the nation's most experienced firms specializing in education system audits, joined forces with Mark D. Corrigan Associates, a national leader in corrections research, planning, and technical consultation, and Neal and Associates, a Texas firm thoroughly familiar with the operations of Texas state government. All three firms assigned their most senior-level personnel to the team that conducted this management and performance review with the State Comptroller. All findings and recommendations were carefully reviewed by both corrections and educational professionals prior to inclusion in this final report.

## Time Schedule of Review

The management and performance audit was completed between June 22 and September 25, 1992. During this period, the audit team assessed the central operations of the WSS in Huntsville and audited the educational programs in 20 of the 36 public units throughout the state, as well as the four privately-operated units. The major activities were scheduled and accomplished as displayed in exhibit A.

## Scope of Work

As stated by the Comptroller's Office, the overall objective of the performance review was to develop recommendations for improving the effectiveness of the Windham School System and educational programs in the four privately-operated prison units. Windham operates within the Texas Department of Criminal Justice (TDCJ) -- an umbrella organization which was formed in 1990 with the consolidation of the Texas Department of Corrections, Board of Pardons and Paroles, and the Adult Probation Commission. Unlike other school districts, Windham is subject to TDCJ as well as Texas Education Agency (TEA) requirements.

Issues such as the administrative structure and programmatic responsibilities of TDCJ were beyond the scope of this audit. For this reason, our audit leaves unaddressed an important set of issues regarding the improvements in efficiency and effectiveness that can result from a greater integration of TDCJ's inmate service programs, including education. We believe that these important issues should be examined. We have recommended in our report that an implementation plan be developed to more effectively integrate and coordinate TDCJ's administrative services, education, substance abuse, counseling, prison industry, and other appropriate programs and services with the Windham School System.

## EXHIBIT A

## WINDHAM SCHOOL SYSTEM MANAGEMENT AND PERFORMANCE AUDIT MAJOR ACTIVITIES BY WEEK

| WEEK OF | MAJOR ACTIVITY |
|---|---|
| June 22 | ▪ Conduct initial meeting between MGT and officials of WSS and Comptroller's Office<br>▪ Design surveys of wardens, principals, professional staff, and student inmates<br>▪ Design interview and focus group instruments<br>▪ Obtain existing reports and materials on WSS |
| June 29 | ▪ Develop preliminary profile of the Windham School System (WSS) |
| June 29, July 20 & 27 | ▪ Conduct audit of system-wide functions<br>▪ Interview Huntsville central staff and regional administrators<br>▪ Analyze data collected on-site |
| June 29 | ▪ Conduct pilot audits of three Windham and one privately-managed schools |
| June 29 - July 20 | ▪ Conduct written surveys of wardens, unit principals, instructors, and student inmates in all publicly and privately-managed units |
| July 20 | ▪ Conduct Project RIO employer survey |
| July 6 & 13 | ▪ Modify pilot audit instruments, MGT audit guidelines, and procedures for the Windham School System audit |
| July 10 & 27 | ▪ Schedule and conduct audits at 17 public and 3 privately-managed corrections education schools |
| August 3 | ▪ Integrate findings of operational unit and system-wide audits |
| August 10 - September 22 | ▪ Develop and review draft report of findings and recommendations for the Windham School System and the privately-managed schools with Comptroller's staff |
| September 25 | ▪ Present final audit findings and recommendations |

## Background Information

The Windham School System (WSS) was established by the state legislature in 1969. WSS was charged with the responsibility of providing educational programs for inmates who do not possess a "high school diploma". The overall goal of the WSS school program is to "provide the opportunity for students to acquire academic and vocational skills necessary for any adult." Technically, WSS is an independent school district (ISD) and must comply with the same certification and accreditation requirements as any other Texas ISD, while remaining closely associated with the Texas Department of Criminal Justice-Institutional Division (TDCJ-ID). The Texas Education Agency and the State Board of Education are responsible for ensuring that WSS is in compliance with their respective statutes and regulations and for conducting appropriate oversight reviews. WSS currently offers academic (basic adult education and high school equivalency) and vocational classes.

Windham also manages the delivery of postsecondary and advanced vocational programs which are funded by the state through TDCJ. These programs are administered by Windham's Continuing Education Unit and were not included in the primary focus of this audit.

Today, the WSS employs over 1,000 personnel located in 33 different schools located in 36 prison units throughout Texas. Four additional prisons are operated by private corporations. Corrections Corporation of America, based in Nashville, Tennessee, and Wackenhut Corrections Corporation, based in Coral Gables, Florida, operate two prisons each under contract with TDCJ-ID. The privately-operated prisons also operate educational programs as part of their contractual agreements. WSS involvement in the education programs in the four private facilities is limited to an annual monitoring visit.

A major current issue confronting Windham officials is the planning for new schools and increased enrollments at the new prison units being built by TDCJ. TDCJ added two new prisons in FY 92 and eight more units are scheduled to open in FY 93.

## Enrollment Counts

As a background, it is important for the reader to understand that the nature of prison education requires several different methods of counting enrollments. Accordingly, the reader will find in this report:

- **Annual headcount enrollment data** which report the numbers of individual inmate students served by Windham during a school year. For example, during the 1990-91 school year Windham served 39,542 inmates, representing 39% of the 101,391 inmates who served time in Texas prisons during the year.
- **Average daily headcount data** which report the average number of inmate students per day served by Windham. For example, during the 1990-91 school year Windham served an average of 13,506 inmates per day representing 27% of the 49,314 average daily number of inmates in TDCJ.
- **Annual Average Daily Attendance (ADA)** data which report the enrollments in Windham schools in terms similar to the ADA enrollment counts for Texas public schools. To estimate Windham's ADA, we divided Windham's total annual student contact hours by 1,080 (the estimated annual student contact hours per ADA in Texas public schools). During 1990-91, Windham's estimated ADA was 10,393.

## Summary of Findings Regarding the Windham School System

Our report contains over 200 findings regarding the efficiency and effectiveness of the Windham School System. Each finding is based upon supporting data and information. A summary of those findings is presented below.

Dedicated Staff and Teachers. We were impressed in our interviews at both the Windham central office and the Windham schools with the dedication and quality of the staff. With only a few exceptions, we found the morale of Windham teachers, administrators, and staff to be high, resulting in very low staff turnover rates. The over 250 employees who we interviewed knew their job assignments and had a sense of excitement about their work. Teachers were challenged by their assignments and seemed dedicated to doing a good job. Inmates in our surveys rated Windham teachers very highly. Our overall conclusion is that current Windham educational programs are generally of high quality and are taught by competent staff.

Similarly, we found many dedicated teachers and administrators in the privately-managed units. However, the overall morale of the school personnel in the privately-managed units was much lower and is reflected in higher turnover rates than experienced by Windham.

Relatively Efficient Operations. With some exceptions (which are summarized below), we found the Windham School System to be relatively efficiently managed. Central office and school administrative costs are reasonable. Salaries are adequate and competitive, yet not excessive. Windham's administrative processes, personnel, purchasing, and financial management are efficiently operated. Management processes are generally streamlined without unnecessary layers of sign-offs and administration (with only a few exceptions). In our full report, we recognize and describe many exemplary administrative processes currently in place in Windham.

The administrative processes in the privately-managed units were also highly streamlined primarily because of the small size of the school staff and the fact no coordination exists among the privately-managed units or between the privately-managed units and the Windham units.

Opportunities for Additional Efficiencies. The exceptions which we found to Windham's generally efficient operations, however, are important and offer significant opportunities for both saving state dollars and increasing the number of students served, (i.e., doing more with less). We found that:

- The central office is inefficiently organized with too many (12) units reporting directly to the deputy superintendent, creating significant internal coordination problems.
- The average number of students per class (especially in academic classes) is extremely low (about 15) resulting in low teacher productivity. The privately-managed units average about 19 students per class.
- In spite of claims by Windham officials that WSS is experiencing major shortages of school space, our data analyses revealed that less than 60% (52.2% for academic classrooms and 57.1% for vocational labs) of the available student capacity is used each week. One of the four privately-managed units averages 90% use of available weekly student capacity. Two problems cause the under-utilization in most Windham schools:
    - regular classrooms are too large and class enrollments are too small;
    - vocational labs, on average, are used only 27 hours per week.
- Windham has not made effective use of automated systems for either administrative or instructional purposes:
    - Most administrative transactions, including student records, involve hard copy forms which are transported by carrier.
    - Pockets of automated systems exist, but are not electronically connected, resulting in duplicative data systems and data handling.
    - Significant amounts of available student time (up to two months) are lost because hard copy student records arrive late when inmates are transferred between units.
    - Some Windham teachers, as well as teachers in the privately-managed units, are not trained in the use of computers and, hence, make poor utilization of existing automated learning systems.

Our report contains over 150 recommendations which address the above and other efficiency issues. Full implementation of our cost reduction recommendations will reduce operating costs for current student levels by over $1.2 million annually.

Program Effectiveness. While we found Windham's current management processes to be relatively efficient (and our report contains recommendations which will significantly improve that efficiency), our most important findings concern the effectiveness of the system's programs.

Texas is facing a major prison crisis. The state's prison population has grown from 35,000 in 1982 to over 50,000 (the maximum state prison capacity) in 1992. Additionally, a major backlog of another 17,000 prisoners are being held in local jails waiting for prison beds to become available. Prisoners are being released after only serving a fraction (sometimes less than 15%) of their sentence just to reduce prison overcrowding. To handle the explosive growth in prison population, TDCJ has opened 22 new prison units in the last 12 years and plans to open 8 new units in FY 93.

The Texas prison population is expected to need over 28,500 additional beds beyond currently scheduled expansions by 1998. As a result, the operating costs of Texas prisons will grow astronomically over the next decade. As an example, TDCJ's 1991-92 appropriation was approximately $1.2 billion. The agency's 1993-94 budget request is for $2.0 billion -- a 67% increase, and these costs do not include the increased costs for law enforcement, operations of local jails, and judicial proceedings. Nor do they include the costs to increasing numbers of innocent victims of crime.

The growing crisis and the growing budget demand that the state examine the effectiveness of every dollar spent on criminal justice -- where effectiveness is defined as reducing the rate of crime and the costs of the state's criminal justice system. Texas must reduce its rate of crime and its rate of growth in prison populations. Within this context, we examined the effectiveness of the state's current corrections education programs. **Our findings are significant and, in our opinion, demand a fundamental restructuring of the program to meet the needs of a rapidly changing system.** We found:

- A large part of the growth in Texas' prison population is due to the fact that Texas' prison system is basically a revolving door with a majority of the released inmates committing new crimes after release and returning to prison soon after release. Over 51% of the current state prison population has served a previous sentence, many of them several previous sentences. Dramatic reductions in crime, prison populations, and state criminal justice costs could be achieved by simply reducing recidivism (the rate at which released inmates commit additional crimes and return to prison).

- **Studies in other states have shown that inmates involved in education have recidivism rates that are nearly half of the rate of those not involved in education.**

- Thus, it is clear that corrections education, if appropriately designed and directed, offers a major solution to Texas' growing crime and costs of criminal justice crises by reducing the number of returning prisoners. Yet, we found no such goal.

- We did not find any attempts to create a system to measure the impact of different types of educational programs on the number of returning inmates, in spite of two previous recommendations that such evaluations be conducted on an on-going basis. Instead, we found a free-world model where Windham's stated goal is to "provide the opportunity for students to acquire academic and vocational skills necessary for any adult" and where educational effectiveness is measured only in terms of:

  - numbers of students
  - advancements in literacy levels
  - numbers of GEDs granted.

- TDCJ Administrative Directive 07.02 mandates that all inmates who do not have a high school degree and who score below the 6th grade literacy level must be enrolled in an educational program. As a result, most of Windham's academic courses are designed to teach basic academic skills.

  We could find no evidence that this mandated education actually reduces the number of returning prisoners.

- Given that sufficient resources do not exist and almost certainly will never exist to educate all inmates, prison and school officials must, everyday, make decisions about which inmates should be served and which should not. Currently, those decisions are based first on serving mandated students and, second, on serving those who voluntarily request education. When requests exceed capacity (which often happens) waiting lists are established. Often inmates are released while they are still on the waiting lists.

- In spite of the fact that sufficient funds exist to serve only about one-third of the inmate population, no attempts are made by corrections or corrections education officials to identify those inmates who are most likely to utilize education to become productive citizens and not return to prison. Further, our interviews with Windham officials revealed a reluctance to establish programs targeted toward inmates who are most likely to utilize education to keep from returning to prison. Officials appear to prefer the current model where "the system" determines who is educated and who is not.

- Research has shown that successful free-world employment is a major factor in preventing an ex-offender from returning to prison. Successful free-world employment, however, requires a combination of basic skills (reading, writing, math), vocational skills and life skills. Windham officials have correctly identified the need for the combination of skills and offer a wide range of academic, vocational, and life skill courses. However, no attempts are made to identify the package of knowledge and skills most likely to make an inmate a productive citizen upon release and prevent his or her return to prison. As a result, student inmates often get only part of the training they need to obtain gainful employment upon release.

- The current corrections education program is further complicated by the fact that the average length of prison stay for inmates is approximately 1.7 years, with many inmates being enrolled for less than nine months. The result is that most vocational students do not complete their programs. In fact, Windham's performance measures do not even report the number of completers by vocational program. Instead, Windham measures its vocational education performance by the number of enrolled students.

- All Windham and TDCJ officials with whom we talked during this review agreed that preventing an inmate from returning to prison upon release depends upon a combination of treatments and strategies, including:

  - substance abuse treatment
  - counseling
  - education

  - health treatment
  - discipline and restricted freedom.

Yet, we found no major attempts to coordinate these programs to make sure that each inmate gets the combination of treatments that prevents his or her return to crime and prison upon release.

- Windham operates as an almost autonomous body from the rest of TDCJ's programs. Administratively, Windham has its own administrative personnel, purchasing, computer, warehousing, budgeting, and financial management systems. Programmatically, Windham has its own counselors, teachers, and program decision-making authority.

  **The Board of Criminal Justice serves as the School Board for the Windham School System. Yet, it spends only about two hours per year on Windham issues and these are usually consent agenda items.**

  Windham administrative staff are not co-located with other TDCJ program administrative staff and do not regularly participate in joint program planning and decision-making. The normal operating procedure is "Windham does its thing and the other inmate treatment programs do their thing."

  Educational representatives do not participate in the initial classification and unit assignment of incoming inmates. Nor are the inmates' educational needs (and potential to benefit from education) even considered when inmates are assigned to units. The education needs are considered only after an inmate has been classified, assigned to and arrives at a prison unit. Thus, because the educational programs (particularly vocational programs) differ significantly among units, there is a low probability that available programs will match an inmate's educational needs. Inmates can later request a transfer to another unit where a desired program is available. However, such transfers require time to be processed and do not always occur for reasons such as a lack of beds at the receiving unit, security reasons, health and substance abuse treatment requirements, industry assignments, etc.

- Basically, corrections education in Texas operates almost like a service being brought in from the outside and made available to inmates on a voluntary basis (except for mandated students), rather than being an integrated part of the total inmate treatment program designed to reduce the number of returning prisoners.

## *Summary of Recommendations for Windham*

Improvements in Efficiency. Our report contains over 150 recommendations which will improve the efficiency of current Windham operations. These recommendations address the following major issues:

- streamlining the organizational structure and staffing of the central office;
- increasing average class sizes;
- expanding the current utilization of educational classrooms and labs;
- designing and implementing an automated administrative system.

Program Effectiveness. The combination of the current state crisis regarding the growth in crime and prison population and the current lack of emphasis by Windham and TDCJ on programs which reduce the number of inmates returning to prison upon release, demands that fundamental changes be made in the way that Windham and TDCJ operate.

These are not normal times and normal programs are proving to be inadequate. TDCJ and Windham must be measured by their ability to reduce the Texas prison "revolving door" whereby over half of the inmates commit crimes and return to prison soon after release. In spite of the quality education programs currently provided by Windham, if those programs cannot reduce the number of returning inmates, then those dollars need to be spent on other programs which can reduce the number.

All national studies which we reviewed, however, showed that appropriate education programs can significantly reduce the number of returning prisoners. To do so, however, the programs must be carefully planned and directed towards that goal. Accordingly, we strongly recommend that:

- The Texas Legislature require, as a condition of continued corrections education funding, that Windham (and TDCJ) submit, beginning in January 1994, a report which shows the impact of Windham's (and TDCJ's) programs on:
  - the rate of returning prisoners to TDCJ
  - the employment success of ex-prisoners

  If by 1995, the data do not show that corrections education has resulted in a significant reduction in the number of returning prisoners to TDCJ (as has been documented in other states), the Legislature and TDCJ should direct a major restructuring of the state's corrections education programs.

- Windham establish (by reassigning current staff) a planning and evaluation office which evaluates the impact of alternative education programs on the number of returning prisoners and annually prepares the report for the Legislature.

- Windham be integrated into the total TDCJ inmate treatment program so that the total program can provide inmates with the combination of treatments which will most likely prevent his or her return to prison. The integration should include:
  - funding Windham as a specific line-item appropriation to TDCJ rather than as a separate line item of TEA (but continuing to use a funding formula similar to the current student contact hour formula)
  - co-locating, where available facilities permit, Windham administrative staff with other TDCJ program administrators
  - integrating Windham's personnel, purchasing, computer, warehousing, and other administrative and support services with similar TDCJ services
  - including Windham staff in all TDCJ program planning and decision making
  - the full consideration of an inmate's educational needs along with all other needs and the participation of educational representatives in the initial classification and unit assignment of new (and returning) inmates.

- Windham (and TDCJ) carefully design educational programs which will decrease the number of returning inmates. To this end, our report recommends that part of the savings from recommended cost reductions be used to expand the enrollments of Windham's vocational education programs. **Additionally, we recommend that Windham establish a two-track educational program: one track for inmates with projected short (less than 12 months) and one for those with projected longer (more than 12 months) prison stays.**

- TDCJ repeal the mandate that all inmates without a high school diploma who score less than the sixth grade on literacy tests be enrolled in classes. Instead, we recommend that TDCJ and Windham carefully target its educational programs toward those inmates who are most likely to utilize their educational experience to obtain gainful employment in the free-world and not return to prison upon release.

- The Board of Corrections establish a standing committee on education that meets prior to each Board meeting to address educational programs, operations, and effectiveness. Representatives of the Commissioner of Education's Office, the State Auditor's Office, the TDCJ Director, and the Texas Commission on Alcohol and Drug Abuse should serve as ex-officio members of the Education Standing Committee.

## *Summary of Findings Related to Privately-Managed Corrections Education Programs*

TDCJ contracts with the Wackenhut Corporation and Corrections Corporation of America (CCA) to manage two Texas prison units each. The four privately-managed units are different from the publicly-managed units in that they:

- are smaller units with only 500 beds each (the average public unit has almost 1,500 beds);

- house only pre-release prisoners (the average public unit houses inmates at higher security levels).

Each of the four privately-managed units are required by contract to offer educational programs which are "comparable to those offered by Windham". The contract also provides for annual program monitoring by TDCJ (which is actually performed by Windham officials).

Our review of the privately-managed schools revealed that:

- the privately-managed schools operate almost totally independent of the rest of the state's corrections education program, including decisions concerning the types of programs offered;
- for the most part, the private units offer only the low cost vocational educational programs;
- all four private units have had, and continue to have, very high school administrative and teacher turnover rates with the average staff longevity per unit being one year or less;
- the four units pay much lower salaries and benefits for school principals and teachers than are paid by local school districts and by Windham;
- the Bridgeport Unit, managed by Wackenhut, makes exceptionally high use of its academic space while the Kyle (Wackenhut) and Venus (CCA) units have very low facility utilization rates. (The CCA Cleveland Unit did not respond to our request for information.)
- the morale of the school staff in the two Wackenhut units was very high, while the school staff morale in the two CCA units was very low;
- the quality of the education programs in the two Wackenhut units was generally equivalent to the program quality in the Windham units in spite of the high staff turnover in the Wackenhut units;
- the quality of the education programs in the two CCA units, however, appeared to be inferior. (Teachers in these units did not have adequate teaching supplies and materials and were generally free to teach whatever they deemed best. Specific educational goals have not been established and very little evaluation of educational outcomes is conducted. It seemed clear from our reviews that CCA does not give education a high priority.);
- in our survey of inmates, the inmates in the privately-managed units generally rated the quality of the teachers and principals as lower than the ratings given by inmates in the publicly-managed units;
- no privately-managed unit has yet established sound, long-term educational programs (Both Wackenhut and CCA seem to be continuing to experiment with alternative programs and delivery systems, including the use of outside educational contractors.).

In summary, we found no exceptional educational practices in the privately-managed units which should be transferred to the Windham System. Instead, we found the privately-managed units (especially the CCA units) in need of significant improvements.

## *Recommendations Regarding the Privately-Managed Schools*

To accomplish the needed improvements in the privately-managed units, our report recommends that:

- the educational section of the TDCJ contracts with Wackenhut and CCA be significantly strengthened to include:
  - identification of the specific academic and vocational courses to be offered by each unit
  - student enrollment and student contact hour goal to be achieved
  - student performance measures to be achieved
  - accreditation standards to be achieved
  - appropriate penalty clauses for failure to meet educational contract requirements
- CCA be required immediately to submit a plan and time schedule to TDCJ for improving the quality of its educational programs;
- both CCA and Wackenhut establish and commit to a long-term educational delivery plan instead of continuing to offer a "patchwork" approach designed to satisfy immediate needs;
- TDCJ limits its monitoring of the privately-managed educational programs to contract compliance;
- both CCA and Wackenhut take appropriate actions to reduce the extremely high turnover of school teachers and principals.

## *Estimated Financial Impact of Recommendations*

Our recommended improvements in the efficiency of Windham's operations will produce a three-year savings of approximately $12.4 million. However, we are recommending that about $10.2 million of these savings be invested back into a variety of improvements including:

- increased numbers of vocational teachers to provide more inmates with marketable vocational skills;
- additional computers and computer-assisted instructional software to increase the rate of learning due to the brief amount of time many inmates spend in academic courses;
- establishment of a planning and evaluation staff to annually evaluate, and report to the Governor and Legislature the impact of educational programs on the numbers of returning prisoners.

In spite of the above re-investments in the corrections education programs, our recommendations will produce a three-year real dollar savings of approximately $2.2 million, enabling the Windham School System to do more with less. Most of the recommendations will significantly re-orient the state's corrections education program toward reducing the rate at which released inmates commit additional crimes and return to prison.

## Compliance With Ruiz

In developing our recommendations for improvements in the Windham School System, we have recognized that the highest priority must be given to ensuring that the State complies fully with the terms and conditions of the Ruiz decisions and agreements. Those court mandates result from 20 years of litigation and federal court intervention relating to maintenance of a prison system which complies with constitutional provisions concerning cruel and unusual punishment, due process and equal protection.

Our recommendations for classification, targeting resources, space utilization and the design of new units are intended to reflect both the spirit and intent of Ruiz. We believe that the concept of targeting educational resources more carefully will enhance compliance with court decrees. Educational participation will remain open to all who truly want and need it. Special needs populations and those in administrative segregation will be more readily identified, based upon an objective, validated risk/needs assessment instrument, and the development of inclusionary criteria for all educational programs. Adoption of the targeting concept will ensure that Windham's limited resources are used in the most fair, effective, and efficient manner.

# 1.0 INTRODUCTION

# 1.0 INTRODUCTION

On June 22, 1992, the Texas Comptroller of Public Accounts contracted with MGT of America, Inc., in association with Mark D. Corrigan Associates and Neal and Associates to conduct a management and performance audit of the Windham School System (WSS). The goal of the Comptroller in conducting this audit was to provide "Better Education through Cost Efficiency". To achieve this goal, the Comptroller included the following scope of work in the RFP:

- Determine whether sufficient and correct administrative and support resources are available for the educational process.
- Ensure adequate resources so as to not impair the educational process.
- Ensure that these resources are utilized in the most effective and cost efficient manner.

The management and performance audit was completed between June 22 and September 25, 1992. During this period we assessed the central operations of the WSS in Huntsville and audited the educational programs in 20 of the 36 public units throughout the state, as well as the four privately-operated units. The major activities were scheduled and accomplished as displayed in exhibit 1-1. Throughout the audit, every effort was made to minimize disruptions to the WSS central operations and the prison units visited.

We express our appreciation to the Director of the Texas Department of Criminal Justice, James Lynaugh; Director of the TDCJ Institutional Division, James Collins; WSS Superintendent, Dr. Lane Murray; Deputy Superintendent, Dr. Chris Tracy; and the staff in the Huntsville, Wackenhut and CCA central offices for their efficient cooperation with the demands of this audit. We also express our appreciation to the wardens, principals, and staff in the 24 units which we visited for facilitating our on-site efforts and providing

## EXHIBIT 1-1

## WINDHAM SCHOOL SYSTEM MANAGEMENT AND PERFORMANCE AUDIT MAJOR ACTIVITIES BY WEEK

| WEEK OF | MAJOR ACTIVITY |
|---|---|
| June 22 | ▪ Conduct initial meeting between MGT and officials of WSS and Comptroller's Office<br>▪ Design surveys of wardens, principals, professional staff, and student inmates<br>▪ Design interview and focus group instruments<br>▪ Obtain existing reports and materials on WSS |
| June 29 | ▪ Develop preliminary profile of the Windham School System (WSS) |
| June 29, July 20 & 27 | ▪ Conduct audit of system-wide functions<br>▪ Interview Huntsville central staff and regional administrators<br>▪ Analyze data collected on-site |
| June 29 | ▪ Conduct four pilot audits |
| June 29 - July 20 | ▪ Conduct written surveys of wardens, unit principals, instructors, and student inmates |
| July 20 | ▪ Conduct Project RIO employer survey |
| July 6 & 13 | ▪ Modify pilot audit instruments, MGT audit guidelines, and procedures for the Windham School System audit |
| July 10 & 27 | ▪ Schedule and conduct audits at 20 corrections education units |
| August 3 | ▪ Integrate findings of operational unit and system-wide audits |
| August 10 - Sept. 22 | ▪ Develop and review draft report of findings and recommendations for the Windham School System with Comptroller's staff |
| Sept. 25 | ▪ Present final audit findings and recommendations |

information in a prompt manner. Finally, we express our gratitude to Mr. Donald Gonzales, the Comptroller's Project Director, for his invaluable assistance in Austin and Huntsville, as well as during our unit audits throughout the state.

This report is organized to provide a concise, yet well documented description of the current situation and our findings on the WSS. Since the WSS is a centrally managed and operated system, our emphasis is on program improvements and cost savings for the system as a whole and not specific units within the system. Nonetheless, specific unit improvements are included where appropriate, especially relating to the two private contracts with Wackenhut and Corrections Corporation of America (CCA). Exemplary programs and practices for both the system and individual units are recognized throughout the report.

Chapters 2.0 through 4.0 provide an overview of the Texas corrections education program, our methodology for assessing the Windham School System and the contracts with the two private corporations providing educational services, and the results of our surveys of wardens, principals, professional education staff, inmates, and employers. Chapters 5.0 through 11.0 address the following major systems from MGT's *Management Audit Guidelines for the Windham School System*:

- Program Effectiveness
- Organization and Management
- Educational Delivery
- Financial Management
- Personnel Management and Development
- Technology Management
- Administrative and Operational Services.

Each chapter is organized to describe the current situation and provide:

- Findings
  - Exemplary programs
  - Opportunities for Improvement
- Recommendations
- Cost Savings
- Implementation Strategies.

The final chapter summarizes the costs and cost savings which were recommended throughout the report. Individual survey results and the instruments which we used to conduct the unit audits are included in the appendices.

# 2.0 OVERVIEW OF THE TEXAS CORRECTIONS EDUCATION PROGRAM

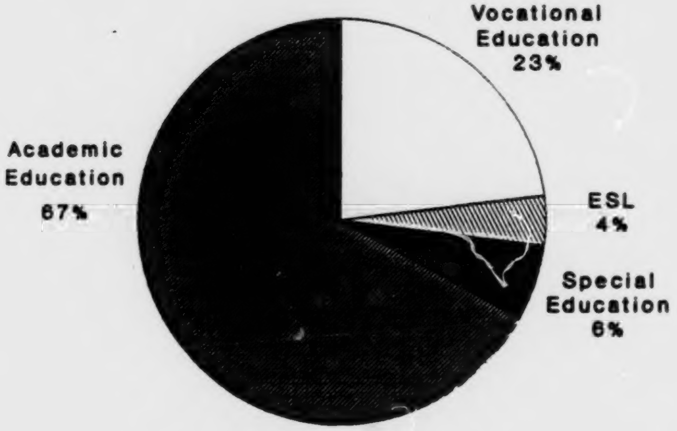
# 2.0 OVERVIEW OF THE TEXAS CORRECTIONS EDUCATION PROGRAM

## 2.1 Background

The Windham School System (WSS) was established by the state legislature in 1969. WSS was charged to provide educational programs for inmates who did not possess a "high school diploma". The overall goal of the WSS school program is to "provide the opportunity for students to acquire academic and vocational skills necessary for any adult." Technically, WSS is an independent school district (ISD) and must comply with the same certification and accreditation requirements as any other Texas ISD, while remaining closely associated with the Texas Department of Criminal Justice-Institutional Division (TDCJ-ID). The Texas Education Agency and the State Board of Education are responsible for ensuring that WSS is in compliance with their respective statutes and regulations and for conducting appropriate oversight reviews. WSS currently offers academic (basic adult education and high school equivalency) and vocational classes. Exhibit 2-1 graphically displays the level of student/inmate participation by program type and participation. Windham also manages the delivery of postsecondary and advanced vocational programs which are funded by the state through TDCJ. These programs are administered by Windham's Continuing Education Unit, and were not included in the primary focus of this audit.

EXHIBIT 2-1

STUDENT INMATE PARTICIPATION
BY PROGRAM TYPE



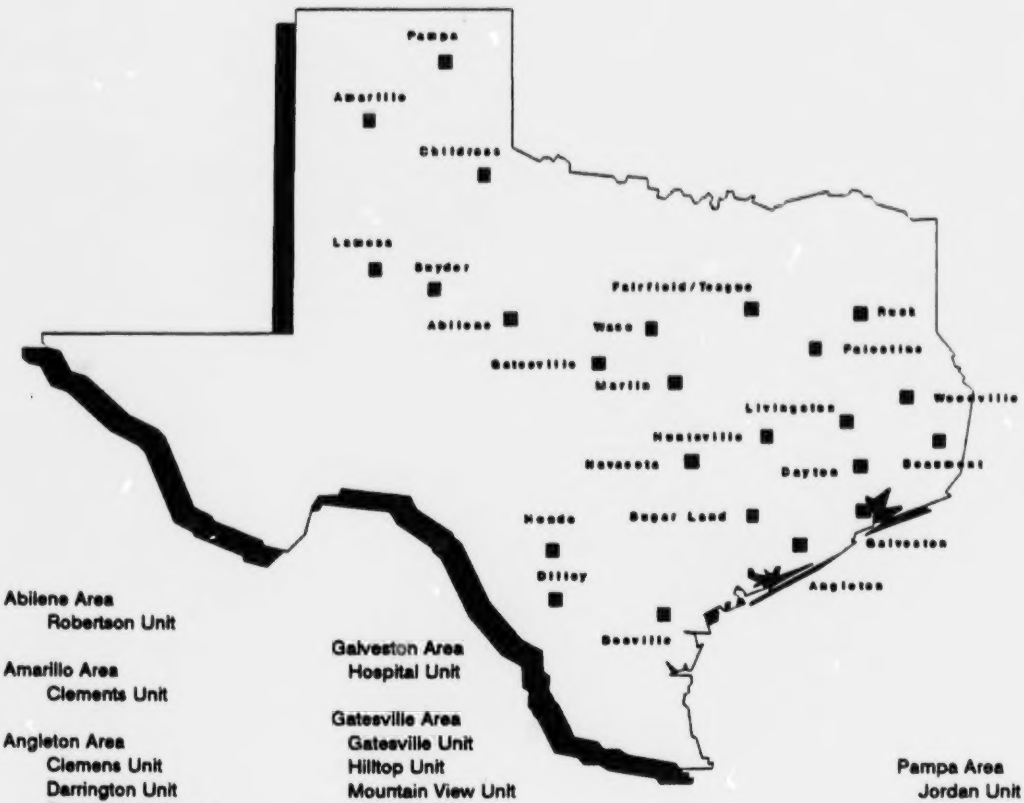
Source: WSS Annual Report, 1990-1991 School Year

Today, the WSS employs over 1,000 personnel located in 33 different campuses (and 36 units) throughout Texas (see exhibit 2-2). Four additional prisons are operated by private corporations (see exhibit 2-3). Corrections Corporation of America, based in Nashville, Tennessee; and Wackenhut Corrections Corporation, based in Coral Gables, Florida, operate two prisons each under contract with TDCJ-ID. The privately-operated prisons also operate educational programs as part of their contractual agreement. WSS involvement in the education programs in four private facilities is limited to an annual monitoring visit.

The WSS headquarters is in Huntsville, Texas. Dr. Lane Murray is the school superintendent, a post which she has held since the school's inception in 1969. Many of the initial employees who joined WSS in the 1970's have remained with the school system. The WSS continues to grow as illustrated in exhibit 2-4. The Texas Department of Criminal Justice-Institutional Division added two new prisons in FY 92; eight more units are scheduled to open in FY 93.

EXHIBIT 2-2

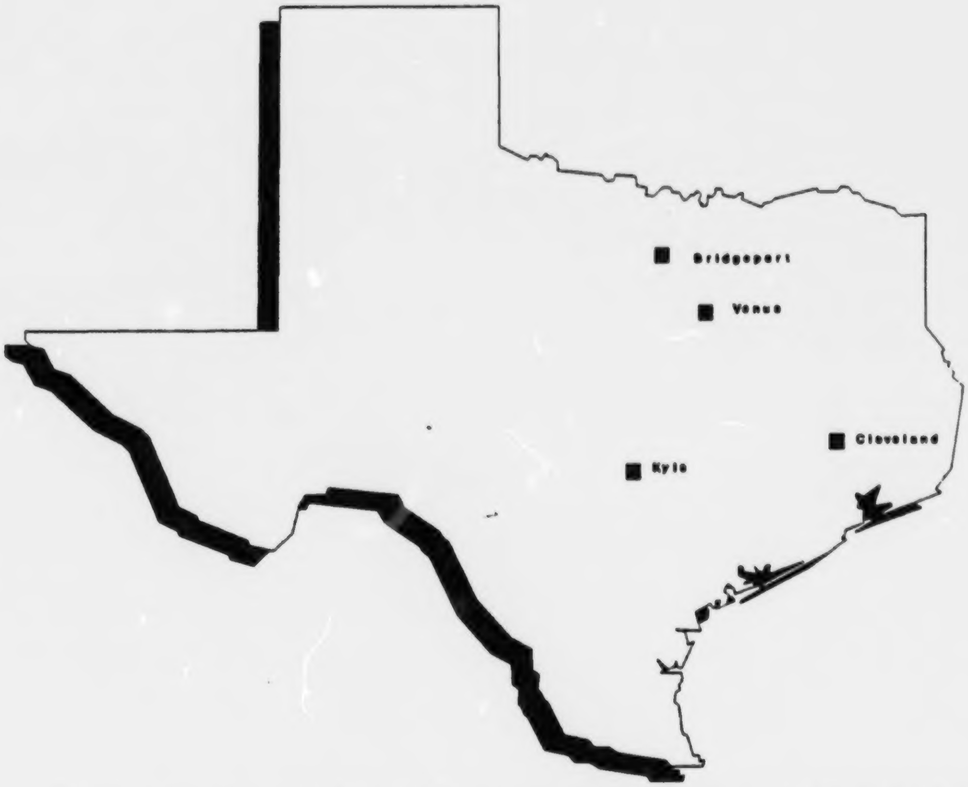
## TEXAS DEPARTMENT OF CRIMINAL JUSTICE UNITS OF WINDHAM SCHOOL SYSTEM


Pampa
Amarillo
Childress
Lamesa
Snyder
Abilene
Fairfield/Teague
Rusk
Waco
Palestine
Gatesville
Marlin
Woodville
Livingston
Huntsville
Beaumont
Navasota
Dayton
Hondo
Sugar Land
Galveston
Dilley
Angleton
Beeville

- **Abilene Area**
  - Robertson Unit
- **Amarillo Area**
  - Clements Unit
- **Angleton Area**
  - Clemens Unit
  - Darrington Unit
  - Ramsey I, II, III Units
  - Retrieve Unit
- **Beeville Area**
  - McConnell Unit
- **Childress Area**
  - Roach Unit
- **Dayton Area**
  - Hightower Unit
- **Dilley Area**
  - Briscoe Unit
- **Fairfield/Teague Area**
  - Boyd Unit
- **Galveston Area**
  - Hospital Unit
- **Gatesville Area**
  - Gatesville Unit
  - Hilltop Unit
  - Mountain View Unit
  - Hughes Unit
- **Hondo Area**
  - Torres Unit
- **Huntsville Area**
  - Administration Building
  - Eastham Unit
  - Ellis I, II Units
  - Ferguson Unit
  - Goree Unit
  - Huntsville Unit
  - Wynne Unit
- **Jefferson County Area (Beaumont)**
  - Stiles Unit
- **Lamesa Area**
  - Smith Unit
- **Marlin Area**
  - Hobby Unit
- **Navosota Area**
  - Pack I, II Units
- **Palestine Area**
  - Beto I, II Units
  - Coffield Units
  - Michael
- **Pampa Area**
  - Jordan Unit
- **Polk County Area (Livingston)**
  - Terrell Unit
- **Rusk Area**
  - Skyview Unit
- **Snyder Unit**
  - Daniel Unit
- **Sugar Land Area**
  - Central Unit
  - Jester I, II, III Units
- **Woodville Area**
  - Lewis Unit

## EXHIBIT 2-3

# TEXAS DEPARTMENT OF CRIMINAL JUSTICE PRIVATE PRISON UNITS OF INSTITUTIONAL DIVISION



Two private firms, Corrections Corporation of America, of Nashville, Tennessee and Wackenhut Corrections Corporation of Coral Gables, Florida, are under contract to the State of Texas to house up to 2,000 minimum security inmates in four different pre-release centers. CCA operates two 500-bed centers in Cleveland and Venus, while WCC operates two centers of the same size in Bridgeport and Kyle. Each center must operate at a cost that provides the state with a savings of not less than 10 percent of the cost of housing inmates in similar facilities.

During the most recent Legislative session, state lawmakers granted the Texas Board of Criminal Justice the option of contracting with private vendors for the operation of up to 2,000 additional minimum security beds.

The four existing private pre-release centers are designed to house male inmates who are within two years of their parole eligibility dates. The Institutional Division of the Texas Department of Criminal Justice is responsible for the screening and referral of eligible inmates to the centers and stations a monitor at each.

Each center provides programs designed to improve an offender's potential for a successful re-entry into society upon release. Program components include academic and vocational education courses, counseling services, adult living skills training, and a pre-employment curriculum.

## EXHIBIT 2-4

## WINDHAM SCHOOL SYSTEM UNITS
## 1984-85 to 1991-92 SCHOOL YEARS

| 1984-85 | 1985-86 | 1986-87 | 1987-88 | 1988-89 | 1989-90 | 1990-91 | 1991-92 |
|---|---|---|---|---|---|---|---|
| Beto I | Beto I | Beto I | Beto I | Beto I | Beto I | Beto I | Beto I |
| Beto I Special | Beto I Special | Beto I Special | Beto I Special | Beto I Special | Beto I Special | Beto I Special | Beto I Special |
| Beto II | Beto II | Beto II | Beto II | Beto II | Beto II | Beto II | Beto II |
| ---- | ---- | ---- | ---- | ---- | ---- | ---- | Briscoe |
| Central | Central | Central | Central | Central | Central | Central | Central |
| Clemens | Clemens | Clemens | Clemens | Clemens | Clemens | Clemens | Clemens |
| ---- | ---- | ---- | ---- | ---- | Clements | Clements | Clements |
| Coffield | Coffield | Coffield | Coffield | Coffield | Coffield | Coffield | Coffield |
| ---- | ---- | ---- | ---- | ---- | Daniel | Daniel | Daniel |
| Darrington | Darrington | Darrington | Darrington | Darrington | Darrington | Darrington | Darrington |
| Eastham | Eastham | Eastham | Eastham | Eastham | Eastham | Eastham | Eastham |
| Ellis I | Ellis I | Ellis I | Ellis I | Ellis I | Ellis I | Ellis I | Ellis I |
| Ellis II | Ellis II | Ellis II | Ellis II | Ellis II | Ellis II | Ellis II | Ellis II |
| Ferguson | Ferguson | Ferguson | Ferguson | Ferguson | Ferguson | Ferguson | Ferguson |
| Gatesville | Gatesville | Gatesville | Gatesville | Gatesville | Gatesville | Gatesville | Gatesville |
| Goree | Goree | Goree | Goree | Goree | Goree | Goree | Goree |
| ---- | ---- | ---- | ---- | ---- | Hightower | Hightower | Hightower |
| Hilltop | Hilltop | Hilltop | Hilltop | Hilltop | Hilltop | Hilltop | Hilltop |
| ---- | ---- | ---- | ---- | ---- | Hobby | Hobby | Hobby |
| ---- | ---- | ---- | ---- | ---- | Hughes | Hughes | Hughes |
| Huntsville | Huntsville | Huntsville | Huntsville | Huntsville | Huntsville | Huntsville | Huntsville |
| Jester I | Jester I | Jester I | Jester I | Jester I | Jester I | Jester I | Jester I |
| Jester II | Jester II | Jester II | Jester II | Jester II | Jester II | Jester II | Jester II |
| Jester III | Jester III | Jester III | Jester III | Jester III | Jester III | Jester III | Jester III |
| ---- | ---- | ---- | ---- | ---- | ---- | Lewis | Lewis |
| ---- | ---- | ---- | Michael | Michael | Michael | Michael | Michael |
| Mountain View | Mountain View | Mountain View | Mountain View | Mountain View | Mountain View | Mountain View | Mountain View |
| Pack I | Pack I | Pack I | Pack I | Pack I | Pack I | Pack I | Pack I |
| Pack II | Pack II | Pack II | Pack II | Pack II | Pack II | Pack II | Pack II |
| Ramsey I | Ramsey I | Ramsey I | Ramsey I | Ramsey I | Ramsey I | Ramsey I | Ramsey I |
| Ramsey II | Ramsey II | Ramsey II | Ramsey II | Ramsey II | Ramsey II | Ramsey II | Ramsey II |
| Ramsey III | Ramsey III | Ramsey III | Ramsey III | Ramsey III | Ramsey III | Ramsey III | Ramsey III |
| Retrieve | Retrieve | Retrieve | Retrieve | Retrieve | Retrieve | Retrieve | Retrieve |
| ---- | ---- | ---- | ---- | ---- | ---- | ---- | Roach |
| ---- | ---- | ---- | ---- | Skyview | Skyview | Skyview | Skyview |
| Wynne | Wynne | Wynne | Wynne | Wynne | Wynne | Wynne | Wynne |
| TOTAL NUMBER OF UNITS EACH YEAR | | | | | | | |
| 26 | 26 | 26 | 27 | 28 | 33 | 34 | 36 |

Source: Annual Performance Reports, Windham School System, 1984-85 to 1990-91 school years.
Personnel Office, data for 1991-92 school year.

## 2.2 Funding and Expenditures

With the creation of WSS as an independent school district (ISD) in 1969, the agency became eligible to receive funds through the Foundation School Program which is the main source of state funds to school districts throughout the state. WSS receives these funds on a similar basis as other ISDs, but utilizing a different formula. WSS also receives state funds from TDCJ to operate Project RIO and postsecondary education programs. Additionally, WSS receives funding from federal programs such as ESEA Chapter I, Chapter I Handicapped, Chapter II, Special Education, Vocational Education, Apprenticeships, Criminal Offender, Title II, and Drug Free Schools and Communities Act Fund. In the 1990-91 school year, WSS budgeted state funds were estimated at $36,720,051, while federal programs provided an additional $1,202,834. Exhibit 2-5 presents the WSS estimated income and income sources for the 1991-92 school year.

Initially, Windham's School Foundation Program funds were based upon average daily attendance (ADA) which is the same basis used for other Texas school districts. Currently, however, the Foundation funding is based on a formula using annual student contact hours as the base. In other words, Windham is allocated funds from the state based on a formula which calculates the number of students in class for a given period of time. The formula was revised in 1990 following a review by a national consulting firm. The impetus to the TEA-directed study was legislative concern over the 1988 WSS fund balance of $7,200,000.

Exhibit 2-6 contains a comparison of current operating expenditures per student by function over the past seven years. As can be seen, while the operating expenditures have almost doubled during this period, the cost per average daily attendance (ADA) has increased by slightly over 10%. (NOTE: Exhibit 2-6 does not adjust for inflation.)

## EXHIBIT 2-5
## WINDHAM SCHOOL SYSTEM ESTIMATED INCOME
## 1991-92 SCHOOL YEAR

**Windham School System Regular Programs (TEA)**

| | | | |
|---|---|---|---|
| Basic Allotment, Estimated: | $21,833,156.00 | | |
| Special Education Allotment: | 4,469,989.00 | | |
| Vocational Education Allotment: | 9,195,888.00 | | |
| Bilingual Education Allotment: | 271,287.00 | | |
| Educational Improvement Career Ladder Allotment: | -0- | | |
| Total Foundation School Program | $35,770,320.00 | | |
| Prior Year Carry-Over Funds (Estimated) | | $649,731.00 | |
| Estimated Interest Income | | 300,000.00 | |
| Total Windham School System Regular Program | | | $36,720,051.00 |

**Windham School System Special Programs (TEA)**

| | | | |
|---|---|---|---|
| Federal Funds Estimated | | | |
| Elementary & Secondary Education Act of 1965, P.L. 100-297 | | | |
| Chapter I | $471,684.00 | | |
| Chapter II | 5,942.00 | | |
| Total ESEA | | $477,626.00 | |
| Special Education P.L. 94-142 | | 14,398.00 | |
| Apprenticeship Related Training | | 109,270.00 | |
| Vocational Criminal Offender | | 514,649.00 | |
| ESEA Title II, Mathematics & Science | | 5,449.00 | |
| Drug Free Schools & Communities Act of 1986 | | 3,393.00 | |
| Special Education IDEA-B Formula | | 29,250.00 | |
| Adult Education Special Project | | 48,799.00 | |
| Total Windham School System Special Programs | | | $ 1,202,834.00 |
| Total Estimated Income Windham School System | | | $37,922,885.00 |
| Budget Reserve | | | -0- |

814d\exh2-5

## EXHIBIT 2-6

## COMPARISONS OF WINDHAM OPERATING EXPENDITURES PER STUDENT BY FUNCTION
## -- EXCLUDES EXPENDITURES FOR POSTSECONDARY EDUCATION --

(as reported by the Windham School System)

## 1984-85 TO 1990-91 SCHOOL YEARS

| TOTAL EXPENDITURES* | 1984-85 | 1985-86 | 1986-87 | 1987-88 | 1988-89 | 1989-90 | 1990-91 |
|---|---|---|---|---|---|---|---|
| General Admin. | $1,342,428.33 | $1,330,880.72 | $1,374,720.00 | $1,364,021.00 | $1,596,985.24 | $1,971,882.45 | $2,016,694.96 |
| Instructional Admin. | 1,947,894.01 | 1,786,886.20 | 1,704,925.00 | 1,701,498.00 | 2,160,194.24 | 885,947.86 | 947,760.08 |
| School Admin. | 1,566,538.62 | 1,609,518.39 | 1,572,259.00 | 1,863,035.00 | 1,823,086.81 | 2,298,038.46 | 2,489,325.60 |
| Total Admin. | 4,856,860.96 | 4,727,285.31 | 4,651,904.00 | 4,928,554.00 | 5,580,266.29 | 5,155,868.77 | 5,453,780.64 |
| Instructional Support | 642,119.47 | 608,658.06 | 611,823.00 | 586,575.00 | 709,100.94 | 999,905.81 | 1,188,902.10 |
| Guidance/Counseling Svcs.** | --- | --- | --- | --- | --- | 1,999,032.42 | 2,468,741.21 |
| Instructional Services | 11,648,768.06 | 11,052,337.89 | 10,998,609.00 | 12,327,938.00 | 14,978,713.55 | 17,577,861.53 | 22,143,889.75 |
| Maintenance equipment*** | 221,543.64 | 177,847.32 | 204,923.00 | 257,649.00 | --- | --- | --- |
| Total | $17,369,292.13 | $16,566,128.56 | $16,467,259.00 | $18,100,716.00 | $21,268,080.78 | $25,732,668.53 | $31,255,313.70 |
| Average Daily Attendance (ADA)^ | 6,420.73 | 6,256.42 | 6,626.31 | 6,905.15 | 7,730.65 | 8,944.21 | 10,393.40 |
| **EXPENDITURES PER AVERAGE DAILY ATTENDANCE^** | **1984-85** | **1985-86** | **1986-87** | **1987-88** | **1988-89** | **1989-90** | **1990-91** |
| General Admin. | $209.08 | $212.72 | $207.46 | $197.54 | $206.58 | $220.46 | $194.04 |
| Instructional Admin. | 303.38 | 285.61 | 257.29 | 246.41 | 279.43 | 99.05 | 91.19 |
| School Admin. | 243.98 | 257.26 | 237.28 | 269.80 | 235.83 | 256.93 | 239.51 |
| Total Admin. | 756.43 | 755.59 | 702.03 | 713.75 | 721.84 | 576.45 | 524.73 |
| Instructional Support | 100.01 | 97.29 | 92.33 | 84.95 | 91.73 | 111.79 | 114.39 |
| Guidance/Counseling Svcs. | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 223.50 | 237.53 |
| Instructional Services | 1,814.24 | 1,766.56 | 1,659.84 | 1,785.33 | 1,937.57 | 1,965.28 | 2,130.57 |
| Maintenance equipment | 34.50 | 28.43 | 30.93 | 37.31 | 0.00 | 0.00 | 0.00 |
| Total | $2,705.19 | $2,647.86 | $2,485.13 | $2,621.34 | $2,751.14 | $2,877.02 | $3,007.23 |

* Annual Performance Reports, Windham School System, 1985-86 to 1990-91 data; WSS Business Office, 1984-85 data.

** Guidance/Counseling Svcs. expenses for 1984-85 to 1988-89 were formerly a part of Instructional Administration.

*** Maintenance equipment expenses for 1988-89 to 1990-91 were appropriated across the other expense categories.

^ ADA counts equal aggregate hours of attendance divided by a 5 hour day times number of days taught.

SOURCE: Annual Performance Reports, Windham School System, 1984-85 to 1990-91 school years.

## 2.3 Organization

Today WSS administers educational programs at 36 units and monitors programs at the four private units. The organizational structure is composed of a central adminstrative office, four regional offices housed at the central adminstrative office, and schools at each unit headed by a principal. One regional office, the Western, just recently began operations and is now hiring regional staff. This region will take over many of the new units and several of the existing units now covered by the Northern Region. The regions are basically organized as follows:

| CENTRAL | NORTHERN | SOUTHERN | WESTERN |
|---|---|---|---|
| Hobby | Boyd (UC) | Central | Jordan (UC) |
| Lewis | Skyview | Jester I, II, III | Clements |
| Eastham | Beto I, II | Clemens | Roach |
| Ellis I, II | Coffield | Darrington | Smith (UC) |
| Ferguson | Michael | Ramsey I, II, III | Daniel |
| Goree | Gatesville | Retrieve | Robertson (UC) |
| Huntsville | Hilltop | Torres (UC) | |
| Pack I, II | Mountain View | Briscoe | |
| Hightower | Hughes | McConnell (UC) | |
| Stiles (UC) | | | |
| Terrell (UC) | | | |

(UC) = Under Construction

The majority of administrative operations are centralized at the Huntsville office. The WSS headquarters is organized into several divisions and sections including:

- Textbook Administration
- Business Administration
- Curriculum Administration
- Personnel Administration
- Testing-Special Programs
- Vocational Administration

- Special Education Administration
- Computer Services
- Safety/Construction
- Support Services
- Media Center

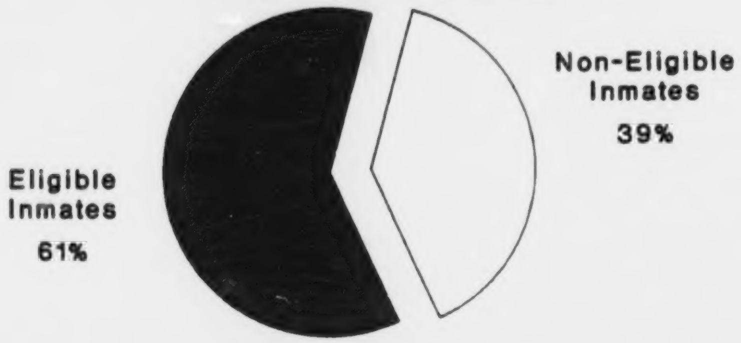
Only limited administrative activity occurs at the regional or unit level. For example, when supplies are needed, a principal prepares a purchase requisition and forwards it to Huntsville for processing. At the unit level, staff consists of a principal, support staff, counselor(s), library staff, and instructors/teachers.

## 2.4 Student Inmates

Many inmates are not eligible for WSS programs (e.g., those having a high school diploma). Exhibit 2-7 illustrates the eligibility and ineligibility profile for TDCJ-ID inmates. Inmates with high school diplomas can only take postsecondary classes or advanced vocational training available in the system.

EXHIBIT 2-7

TDCJ-ID INMATE ELIGIBILITY



TOTAL INMATE POPULATION: 46,217

Source: WSS Annual Report 1990-1991

Exhibit 2-8 provides an inmate profile for the WSS from 1984-85 through 1990-91. In 1990-91, the system provided services to 39,555 student inmates out of a total prison potential participant population of over 100,000 (new receives and current inmates). According to the TDCJ-ID FY 91 annual report, currently, the prison population is 96% male, averaging 32 years of age, and has a 6.7 grade functioning level. Of this population, 47% are African-Americans, 23% are Hispanic-Americans, and 30% are white. As WSS schools serve those inmates with less than a high school diploma, the average age and grade functioning level is generally lower than the statistics noted above for the total population.

As noted, the anticipated increase in inmate population has resulted in the massive prison construction program now underway in Texas. WSS will be responsible for the designing and managing of the educational programs at these new units. Exhibit 2-9 presents the current campus structure and program participant information. The exhibit also includes the units that opened after the 1990-91 WSS Annual Performance Report as well as the units under construction and their scheduled opening dates.

Prison officials have not only faced the problem of housing more offenders, but they also have been required to meet the needs of changing population. Today's inmate population is categorized by increased levels of substance abuse and addiction (which are estimated to be as high as 75 percent in some prison systems), increased problems of mental illness, the AIDS crisis, a growing pattern of unemployment, and a significant school dropout rate.

## EXHIBIT 2-8

## WSS INMATE PROFILE
## 1984-85 TO 1990-91 SCHOOL YEARS

| MEASURE | | 1984–85 | 1985–86 | 1986–87 | 1987–88 | 1988–89 | 1989–90 | 1990–91 |
|---|---|---|---|---|---|---|---|---|
| NUMBER OF TDCJ-ID INMATES DURING THE YEAR | | 60,844 | 67,120 | 71,864 | 72,569 | 71,220 | 93,216 | 101,391 |
| TOTAL INMATES SERVED THROUGHOUT THE YEAR* | | -- | -- | 27,762 | 30,388 | 34,073 | 36,930 | 39,555 |
| PERCENT OF ENROLLMENT IN SCHOOL* | | -- | -- | 38.6% | 41.9% | 47.8% | 39.6% | 39.0% |
| AVERAGE LENGTH OF INCARCERATION | | 2 years | 1.96 years | 1.6 years | 1.7 years | 1.7 years | 1.9 years | 1.7 years |
| SEX | Male | 95% | 95% | 95% | 95% | 95% | 92% | 94% |
| | Female | 5% | 5% | 5% | 5% | 5% | 8% | 6% |
| ETHNICITY | Black | 42% | 41% | 41% | 42% | 43% | 46% | 46% |
| | Hispanic | 21% | 22% | 22% | 22% | 22% | 22% | 23% |
| | White | 31% | 37% | 37% | 36% | 35% | 32% | 31% |
| MEAN AGE | | 30 years | 30 years | 30 years | 30 years | 32 years | 29.5 years | 32 years |
| AVG ACHIEVEMENT LEVEL | | 6th grade | 6th grade | 6th grade | 6th grade | 9th grade ** | 6th grade | 6th grade |
| HAVE LESS THAN A HIGH SCHOOL DIPLOMA | | 85% | 90% | 90% | 88% | 85% | 75% | 78% |
| % SCORE BELOW 6TH GRADE READING LEVEL*** | | 35% | 25% | 27% | 37% | 25% | 48% | 45% |

* Figures for total single count enrollment and percent of enrollment in school, 1984–85 and 1985–86, were not calculated in those years.

** In 1988–89, a different and less accurate examination was used, and therefore the grade level was higher.

*** Scores are based on standardized achievement test level; percents for 1984–85 and 1985–86 represent scores less than 5th grade level.

Source: Annual Performance Reports, Windham School System, 1984-85 to 1990-91 school years

# EXHIBIT 2-9
# WINDHAM SCHOOL SYSTEM
# CURRENT UNIT INFORMATION

| | INMATE COUNT | | PROGRAM PARTICIPATION DATA * | | | |
|---|---|---|---|---|---|---|
| CAMPUSES | TOTAL POPULATION | TOTAL SCHOOL ELIGIBLES | ACADEMIC PARTICIPANT NUMBER | SPECIAL ED PARTICIPANT NUMBER | ENGLISH AS SECOND LANGUAGE PARTICIPANT NUMBER | VOCATIONAL PARTICIPANT NUMBER |
| BETO I | 2,479 | 1,144 | 2,107 | 135 | 98 | 410 |
| BETO I SPECIAL | 677 | 530 | 930 | 311 | NP | 222 |
| BETO II | 994 | 591 | 777 | 50 | 26 | 336 |
| BOYD | Scheduled to open August 1992 | | | | | |
| BRISCOE | Opened March 1992 | | | | | |
| CENTRAL | 852 | 565 | 1,057 | NP | 200 | 407 |
| CLEMENS | 1,019 | 778 | 1,092 | 70 | 34 | 404 |
| CLEMENTS | 1,914 | 1,253 | 1,061 | 151 | 41 | 454 |
| COFFIELD | 3,020 | 2,075 | 1,540 | 76 | 77 | 448 |
| DANIEL | 918 | 576 | 755 | 31 | 72 | 372 |
| DARRINGTON | 1,667 | 1,150 | 1,054 | 72 | 59 | 181 |
| EASTHAM | 2,218 | 1,525 | 976 | 91 | 75 | 323 |
| ELLIS I | 2,056 | 1,029 | 632 | 19 | 15 | 358 |
| ELLIS II | 2,150 | 1,349 | 936 | 98 | 46 | 457 |
| FERGUSON | 2,218 | 1,614 | 1,290 | 54 | 110 | 832 |
| GATESVILLE | 1,553 | 804 | 1,988 | 340 | NP | 454 |
| GOREE | 1,078 | 188 | 294 | NA | NA | NA |
| HIGHTOWER | 924 | 600 | 1,234 | 59 | 133 | 590 |
| HILLTOP | 858 | 552 | 1,829 | 106 | NP | 365 |
| HOBBY | 927 | 517 | 1,469 | 58 | NP | 611 |
| HUGHES | 2,110 | 1,393 | 732 | 47 | 84 | 411 |
| HUNTSVILLE | 1,483 | 769 | 958 | 42 | 115 | 128 |
| JESTER I & II | 591 | 331 | 1,214 | NP | NP | 32 |
| JESTER III | 992 | 594 | 1,178 | 39 | 70 | 530 |
| JORDAN | Scheduled to open November 1992 | | | | | |
| LEWIS | 934 | 658 | 1,186 | 46 | 110 | 301 |
| MCCONNELL | Scheduled to open August 1992 | | | | | |
| MICHAEL | 2,316 | 1,539 | 1,032 | 56 | NP | 462 |
| MOUNTAIN VIEW | 590 | 316 | 361 | 53 | 47 | 302 |
| PACK I | 999 | 564 | 979 | 72 | 144 | 310 |
| PACK II | 1,198 | 804 | 1,137 | 37 | 107 | 499 |
| RAMSEY I | 1,549 | 922 | 947 | 60 | 73 | 324 |
| RAMSEY II | 972 | 598 | 424 | 38 | NP | 75 |
| RAMSEY III | 1,175 | 695 | 1,127 | 63 | 64 | 432 |
| RETRIEVE | 911 | 566 | 564 | 21 | NP | 133 |
| ROACH | Opened September 1991 | | | | | |
| ROBERTSON | Scheduled to open December 1992 | | | | | |
| STILES | Scheduled to open May 1993 | | | | | |
| SKYVIEW | 515 | 339 | 126 | 462 | NP | 294 |
| SMITH | Scheduled to open October 1992 | | | | | |
| TERREL | Scheduled to open May 1993 | | | | | |
| TORRES | Scheduled to open November 1992 | | | | | |
| WYNNE | 2,360 | 1,334 | 1,181 | 80 | 101 | 397 |
| TOTALS | 46,217 | 28,262 | 34,167 | 2,837 | 1,901 | 11,854 |

SOURCE: WSS Annual Performance Report, 1990-91 school year.

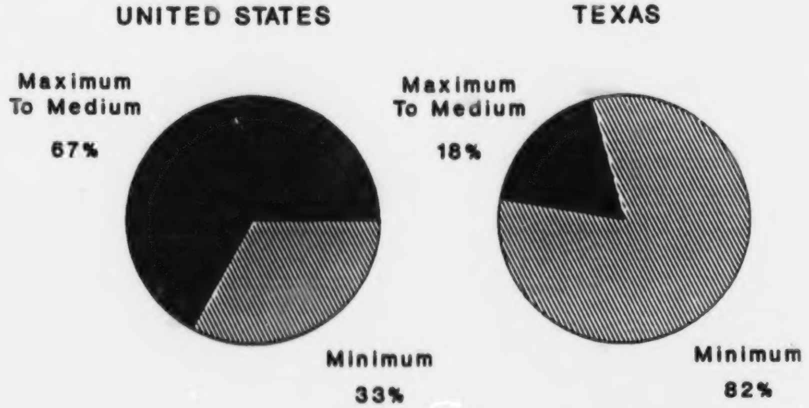
* Represents a double count.

The student population in the WSS programs is dramatically different than any other independent school district. The average student/inmate is older, generally 20-25 years of age, and was a dropout of regular school programs. In some cases, the student inmate is a recidivist cycling through the system again. Over 78 percent of the individuals entering TDCJ-ID have less than a high school education and over half are below 6th grade. Those student inmates testing less than sixth grade functioning level are required to enter or reenter the basic academic program. Many inmates have a history of failure and need strong positive reinforcement. Further, some student inmates have special problems, such as language, mental or physical problems which require special training and properly trained teachers.

Texas has a very different inmate population configuration than many other states. As exhibit 2-10 illustrates, according to the American Correctional Association (ACA), the offender population in Texas contains a much larger element of inmates classified as minimum security than the national average. (NOTE: TDCJ-ID statistics indicate that the Texas prison population in 1990-91 was 23% maximum to medium and not 18% as reported by ACA.)

EXHIBIT 2-10

INMATE POPULATION CONFIGURATION



Source: American Correctional Association, 1991

## 2.5 Programs

The purpose of WSS is to provide educational programs for the student inmates. These programs are grouped into two primary classifications:

- Academic
- Vocational

The academic programs offered by WSS include:

- Basic Academic Program
- Special Education Program
- Chapter I and II Programs
- English as a Second Language Program
- Reintegration of Offenders - Project RIO Program (pre-release)

Program participation since the 1984-85 school year in each of these programs is illustrated in exhibit 2-11. Project RIO activities follow in exhibit 2-12.

Vocational program offerings are extensive and vary by unit. Exhibit 2-13 illustrates the range of these programs and the number of institutions providing each class offering. The exhibit also illustrates that many programs are offered at only one or two campuses. Vocational programs are popular and there are more requests than there are openings. Current WSS policy is to permit a student inmate to take only one class at a time in order to provide opportunities for as many inmates as possible. This policy may be waived under special circumstances by the school superintendent. Student inmates desiring to take a vocational course offered in another unit can request a transfer. However, the general policy is to permit unit residents first choice so few slots actually become available for potential transfers. The relevance of the vocational program offerings to real world needs will be addressed in chapter 6.

## EXHIBIT 2-11

## PROGRAM PARTICIPATION
## 1984-85 TO 1990-91 SCHOOL YEARS

| PROGRAM | 1984–85 | 1985–86 | 1986–87 | 1987–88 | 1988–89 | 1989–90 | 1990–91 |
|---|---|---|---|---|---|---|---|
| Academic | -- | 24,573 | 20,612 | 26,575 | 26,780 | 32,031 | 32,740 |
| Special Education | 2,049 | 1,894 | 1,766 | 1,832 | 1,966 | 2,346 | 2,699 |
| Chapter 1* | -- | 820 | 1,268 | 1,472 | 1,319 | 1,524 | 1,365 |
| Vocational | 5,137 | 5,882 | 6,180 | 6,421 | 6,798 | 9,149 | 13,280 |
| Pre–Release | 6,403 | 4,802 | 4,715 | 5,070 | 6,086 | 8,656 | 10,355 |
| ESL/Bilingual | 592 | 1,262 | 1,221 | 1,220 | 1,292 | 1,582 | 1,867 |
| Total Single Count Enrollment** | -- | -- | 27,762 | 30,388 | 34,073 | 36,930 | 39,555 |
| Avg. Hours of Participation/Inmate | -- | -- | -- | -- | -- | 214 | 259 |

* Chapter 1 students must participate in academic programs to be enrolled in Chapter 1. Therefore, these hours are not reflective of the total participation for these students but rather for their Chapter 1 time only.

** Participants by program are not additive to the total single count enrollment because inmates may participate in more than one program during a school year.

-- Some information not available in prior years.

Source: Annual Performance Reports, Windham School System, 1984-85 to 1990-91 school years

## EXHIBIT 2-12

## PROJECT RIO (RE-INTEGRATION OF OFFENDERS) ACTIVITIES 1988-89 TO 1990-91 SCHOOL YEARS

| ACTIVITY | 1988–89 | 1989–90 | 1990–91 |
|---|---|---|---|
| Paroled with Employability Development Plan (EDP) | 2,835 | 5,591 | 11,920 |
| EDP's Completed** | 3,759 | 8,541 | 19,871 |
| Counseling Sessions | 6,642 | 15,552 | 35,670 |
| Orientation Participants | 12,802 | 71,031 | 90,046 |
| Selective Service Cards Received | *** | 5,916 | 11,741 |
| Birth Certificates Received | *** | 4,335 | 11,107 |

SOURCE: WSS Annual Performance Reports
1988-89 to 1990-91 school years.

* Inmates scheduled to be released within one year are identified for participation in Project RIO. An assessment including aptitudes, skills, attitudes, interests, education and work histories of enrollment is conducted. An employability development plan (EDP) is then developed based on assessment results and availability of jobs in occupation of choice in the area to which the inmate plans to return, using Texas Employment Commission demand occupation data or other appropriate data source. The EDP development process outlines the steps to be taken for the individual to be placed in gainful employment. Once the EDP is developed, individuals will be referred to programs based on findings in the needs assessment.

** 1988-89 figure is the total number of EDP's started only

*** Information not available

EXHIBIT 2-13

## NUMBER OF UNITS OFFERING VOCATIONAL CLASSES

Windham School System Vocational Classes

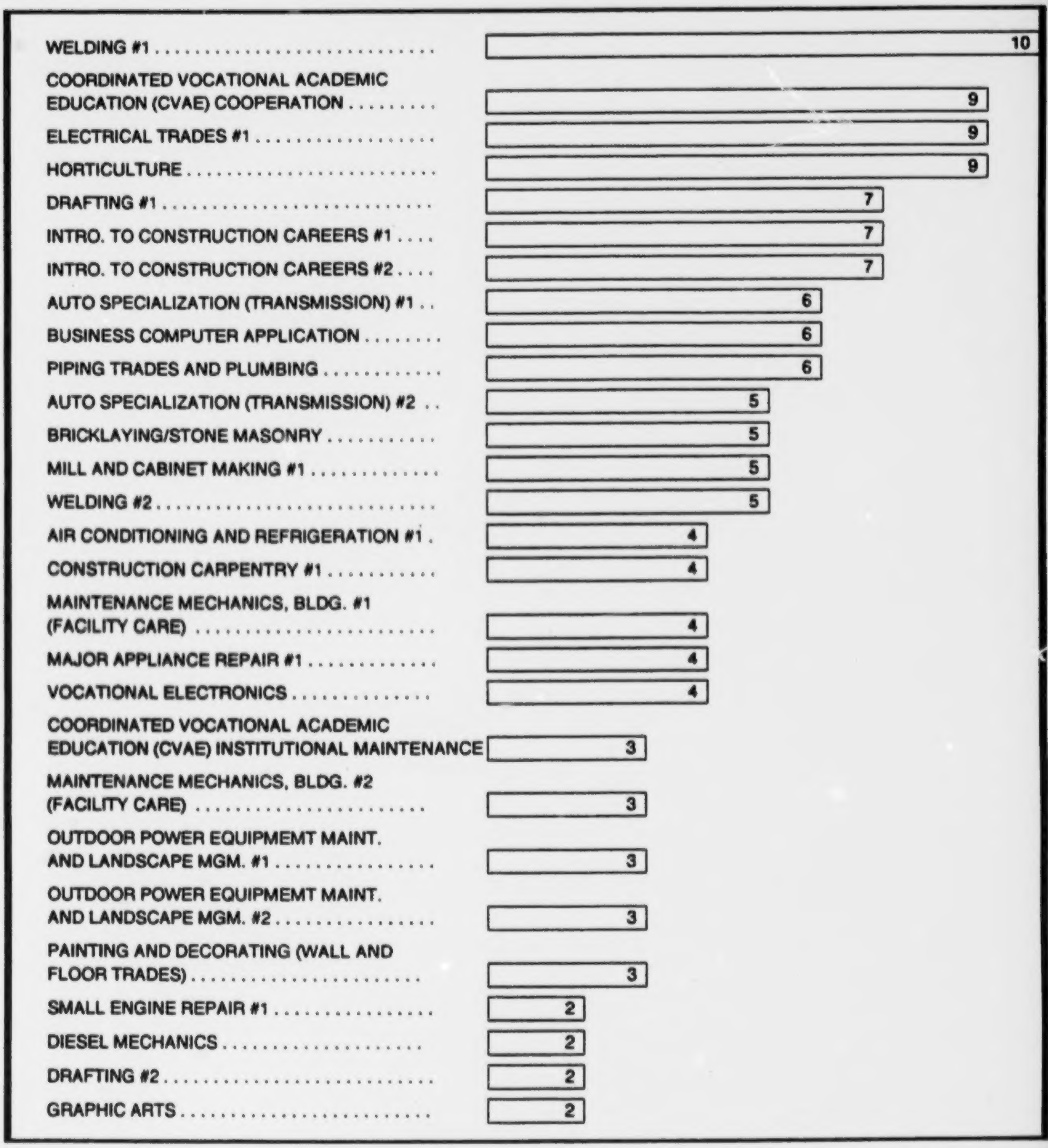


EXHIBIT 2-13 (Continued)

## NUMBER OF UNITS OFFERING VOCATIONAL CLASSES

### Windham School System Vocational Classes

| | |
|---|---|
| MACHINE SHOP | 2 |
| MAJOR APPLIANCE REPAIR #2 | 2 |
| MEAT CUTTING | 2 |
| MICRO COMPUTER APPLICATIONS | 2 |
| REMODELING-INTERIOR AND EXTERIOR #1 | 2 |
| REMODELING-INTERIOR AND EXTERIOR #2 | 2 |
| RETAIL MERCHANDISING | 2 |
| TRUCK DRIVING | 2 |
| AIR CONDITIONING AND REFRIGERATION #2 | 1 |
| AUTO COLLISION REPAIR AND REFINISHING TECHNIQUES | 1 |
| AUTO SPECIALIZATION (RADIATOR) | 1 |
| BARBERING | 1 |
| BUILDING TRADES | 1 |
| COMMERCIAL AND INDUSTRIAL WIRING #1 | 1 |
| COMMERCIAL AND INDUSTRIAL WIRING #2 | 1 |
| COMPREHENSIVE HOME ECONOMICS | 1 |
| CONSTRUCTION CARPENTRY #2 | 1 |
| CULINARY ARTS | 1 |
| CVAE BUSINESS OFFICE SERVICES | 1 |
| DENTAL LABORATORY AIDE | 1 |
| ELECTRICAL TRADES #2 | 1 |
| FLORTICULTURE | 1 |
| INDUSTRIAL EQUIPMENT REPAIR | 1 |
| MILL AND CABINET MAKING #2 | 1 |
| OFFICE SUPPORT SYSTEMS | 1 |
| PRINCIPLES OF TECHNOLOGY | 1 |
| SHEET METAL | 1 |
| SMALL ENGINE REPAIR #2 | 1 |
| GENERAL CONSTRUCTION TRADES | 1 |

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## 2.6 Student Inmate School Time

Unlike a regular school program, student inmates are actually in the system for only an average of a year and a half. Although current average sentences call for over nine years, prison overcrowding and "good time" provisions are reducing the average stay below two years. According to WSS records, the average stay for the student inmate is now 17 months. Thus, WSS programs are oriented to trying to raise the student inmate functional level with the clear recognition that a half a grade level to one grade level is a significant accomplishment. As would be expected, although the average is 17 months, a very wide range of inmate time is evident.

Also student inmates enter and leave the program at different times throughout the year. Unlike public schools, there is no annual start day and stop day for the instructors except for the periodic vacation periods. There is a steady flow of student inmates into and out of the corrections education programs plus some transfer between units. Transfers can occur due to security, classification, medical or educational changes. Also inmates who are within two years of release are eligible for movement to a pre-release unit.

## 2.7 WSS Instruction

Because of the continuous entry and departure of students, WSS teachers must utilize an individualized teaching approach. Most student inmates work at his/her own pace and may proceed slower or faster than others. As a student inmate demonstrates competency, the individual may proceed on to other course elements. While this process can be disruptive in some situations, the participant's age, "good time" incentives, and strong positive reinforcement support the individualized format.

## 2.8 Privately-Operated Prisons

In view of the massive growth in corrections facilities and thus, the state revenues that must be committed to this process, the search for more efficient methods of housing offenders has become a major issue to state policy makers. In recent years, state and local governments have begun to test the feasibility of utilizing a private management model for operating prisons. Texas was among the first states to contract with private corporations to run corrections facilities.

In 1987, the state legislature authorized TDCJ-ID to enter into contracts with two private corporations (Wackenhut and Corrections Corporation of America) for the operation of four facilities. The facilities built with bond funds include the following units which began operation in 1989:

- Kyle (Wackenhut)
- Bridgeport (Wackenhut)
- Venus (CCA)
- Cleveland (CCA)

Each of these four pre-release centers have a 500-bed capacity.

By contractual agreement, each private corporation must operate for 10 percent less than the cost of housing inmates in similar state-operated facilities. While there have been problems and disagreements, the TDCJ-ID has continued these contracts and the Legislature has given the Department an option to contract for another 2,000 minimum security beds. Currently the private units operate their own educational programs independent of the WSS. However, WSS representatives provide input to contract development and are responsible for an annual monitoring review and report. The privately-operated unit school programs are established by the contract between TDCJ-ID and the private contractors. The contracts basically require that the private units comply with TEA guidelines. The private educational programs are funded through the inmate daily rate so these schools receive neither TEA nor federal funds. Current program components include basic academic, vocational, counseling, adult living, skills training, and a pre-employment curriculum.

# *3.0 METHODOLOGY*

# *3.0 METHODOLOGY*

## *3.1* Overview

In this chapter we describe the methodology used to prepare for and conduct the management and performance audit of the Windham School System. Our methdology primarily involved a focused use of our audit guidelines and included analyses of both existing data and new information obtained through various interview instruments, surveys, and special studies.

The audit of the Windham School System was conducted in three phases:

| | |
|---|---|
| Phase I | Audit of the Windham School System Administration and Centralized Functions, Including the Regional Administration |
| Phase II | Pilot Audits of Three State and One Privately-Operated Corrections Education Units |
| Phase III | Unit Audits of 20 Corrections Education Programs (Including Three Private Units) |

To some extent, this approach was analogous to an audit of an independent school district with a representative sample of schools. However, there were major differences which we had to take into account in designing our methodology. These differences include the following:

- In the case of Windham, the individual units are geographically located throughout the state.
- Some facilities are run by the state while others are privately-operated.
- Security is the top priority in a prison unit; security can not be compromised through educational efforts. Further, the levels of security at the individual units vary significantly.

- The students are all adults.
- Unlike other school districts, two governing entities (the State Board of Education and the State Board of Criminal Justice) are both responsible for the funding and operations of these facilities.
- Also, unlike other school districts, the district is an integral part of a much larger organization, the Texas Department of Criminal Justice.

### *Composition of Management Review Team*

Because of the unique nature of the Windham School System, the 19-member team that conducted the management and performance review was a well-balanced mix of national experts in the fields of education and corrections. MGT of America, one of the nation's most experienced firms specializing in education system audits, joined forces with Mark D. Corrigan Associates, a national leader in corrections research, planning, and technical consultation, and Neal and Associates, a Texas firm thoroughly familiar with the operations of Texas state government. All three firms assigned their most senior-level personnel to the team that conducted this management and performance review for the State Comptroller. All findings and recommendations were carefully reviewed by both corrections and educational professionals prior to inclusion in this final report.

## 3.2 Methodological Steps

Exhibit 1-1 in chapter 1 displays the major audit activities and our schedule for completion of each activity. The 20 methodological steps which we used to conduct the audit are:

1. We revised the project work plan, time schedule, and methodology presented in our proposal after developing a more detailed understanding of Windham School System operations; TDCJ and TEA oversight responsibilities; state concerns and issues; and existing WSS databases and audit objectives to fully accomplish audit goals.
2. We used the revised work plan, methodology, and time schedule to guide all subsequent audit activities.

3. We prepared a comprehensive profile of the student inmate pool.

4. We received an orientation by WSS staff and conducted interviews with WSS central administrators, and the Northern, Southern, Central, and Western Regional Administrators.

5. We conducted interviews with TDCJ and TEA representatives to gather detailed information and opinions about WSS educational operations.

6. We conducted interviews with administrators, teachers, inmates, and security staff of the privately-operated corrections education programs as well as WSS corporate headquarters personnel.

7. We utilized a combination of warden, principal, professional staff, and inmate surveys to generate statistically valid information about both unit and system-wide operations and concerns.

8. We conducted telephone interviews of Project RIO employers who had hired TDCJ releasees within the last two years.

9. We used MGT's audit manual which had been tailored for the Windham School System, in collaboration with Mark D. Corrigan Associates, as the basis for conducting the audit.

10. We used information from interviews with key corrections leaders, and an analysis of state and institutional data to further refine the audit guide for the Windham School System and private units by focusing on those system operations and issues of concern.

11. Utilizing the augmented audit guidelines, we designed collection instruments and interview guides to gather required information about each major operation at the unit level.

12. We conducted pilot unit audits at three public and one private prison to validate the instrumentation and audit guides, and to ensure consistency among teams.

13. We revised the audit data collection instruments based on our findings during the pilot audits. Instruments were developed in five broad areas:

    - School and Personnel Management
    - Administrative and Operational Services
    - Educational Programs
    - Technology Management
    - Financial Management

Copies of the instruments which we used to conduct the unit audits are included in Appendix A.

14. We conducted a three-hour training meeting for all team members in Houston on July 21, 1992.

15. Three teams conducted audits of 20 prison education programs between July 22nd and July 31st. The unit audit schedule is shown in exhibit 3-1. The 20 units were selected on the basis of geographic distribution, size, type of security, ethnicity, and gender.

16. Each unit and system operation were audited by a team of professionals with experience in the area being audited and who have been trained to use the audit guidelines as tailored to the WSS and the private corrections education units.

17. We prepared a preliminary draft of audit findings, conclusions, and recommendations. Findings included both exemplary programs and practices and those areas needing improvement.

18. We submitted draft findings, conclusions, and recommendations to the Comptroller's Office for review and comment.

19. We made appropriate changes and prepared the final audit findings and recommendations.

20. We reviewed our findings and recommendations with WSS officials.

The following sections provide additional explanation of the major methodological steps listed above.

## Analyzing Existing Reports and Data Sources

During the two-month project period, we spent a considerable amount of time identifying, collecting, and analyzing existing reports and data related to WSS organizational structures, budgets, operating processes, and educational programs for inmates. Examples of existing materials which we studied in detail include:

- comparative district, region, and state demographics, financial and performance data

EXHIBIT 3-1

## UNIT AUDIT SCHEDULES
## AUDIT TEAMS AND ASSIGNMENTS - WEEKS OF JULY 20TH AND 27TH

| TEAM A<br>CENTRAL REGION/PRIVATES<br>(3 Private and 3 Public Units) | TEAM B<br>NORTHERN/WESTERN REGIONS<br>(7 Public Units) | TEAM C<br>CENTRAL/SOUTHERN REGIONS<br>(7 Public Units) |
|---|---|---|
| *Team Members/Functions*<br>Patrick Hamilton<br>Administrative and Operational Services<br>Jerry Ciesla *<br>School/Personnel Mgmt<br>Bill Pittman<br>Educational Programs<br>Toni Neal (Private Units Only)<br>Financial Mgmt/MIS | *Team Members/Functions*<br>David Owens<br>Administrative and Operational Services<br>Linda Recio (Week #1) *<br>School/Personnel Mgmt<br>Garfield Wilson (Week #2)<br>School/Personnel Mgmt<br>Islara Souto<br>Educational Programs | *Team Members/Functions*<br>Allen Beck<br>Administrative and Operational Services<br>Terry Tutchings *<br>School/Personnel Mgmt<br>Mae Clemons<br>Educational Programs |
| *Correctional Education Units*<br>Ferguson (c)** - July 22<br>Principal - Felix Buxkemper<br>■ first offender/max<br>Ellis I (c) - July 23<br>Principal - Tim Lee<br>■ old recidivists<br>■ all levels<br>Lewis (c) - July 24<br>Principal - JoAnn Clayton<br>■ minimum<br>Venus - July 27<br>Principal - Kay Goad<br>■ pre-release<br>■ private unit<br>Bridgeport - July 28<br>Principal - Cecil Todd<br>■ pre-release<br>■ private unit<br>Kyle - July 29<br>Principal - Ron Ferguson<br>■ pre-release<br>■ private unit | *Correctional Education Units*<br>Clements (w) - July 22<br>Principal - Alma McArthur<br>■ all levels<br>Roach (w) - July 23<br>Principal - Harold Johnson<br>■ min./medium offender<br>Gatesville (n) - July 27<br>Principal - Jim Scott<br>■ women<br>■ all security levels<br>Hughes (n) - July 28<br>Principal - Angie Grace<br>■ all classifications<br>■ max. security<br>Beto I (n) - July 29<br>Principal - Bart Reddoch<br>■ all security levels<br>■ including special unit<br>Coffield (n) - July 30<br>Principal - Joe Radford<br>■ 1st-time offender<br>■ recidivists<br>■ all levels<br>Michael (n) - July 31<br>Principal - Lee Bing<br>■ all classifications | *Correctional Education Units*<br>Darrington (s) - July 22<br>Principal - Sam Allen<br>■ all security levels<br>Ramsey I (s) - July 23<br>Principal - Bill West<br>■ recidivists<br>■ medium offenders<br>Central (s) - July 24<br>Principal - Carolyn Edwards<br>■ minimum custody<br>■ first offender<br>Hightower (c) - July 27<br>Principal - Gus Nelson<br>■ min./med. offender<br>Pack II (c) - July 28<br>Principal - Maria Diaz<br>■ young offender<br>■ recidivists<br>■ minimum<br>Jester III (s) - July 29<br>Principal - Novella Pollard<br>■ recidivists<br>■ minimum custody<br>Briscoe (s) - July 30<br>Principal - June Franco<br>■ medium offenders |

* Team Leader

** The letter in parenthesis indicates the region where the unit is located: c-central, s-southern, n-northern, and w-western.

**Mandatory orientation meeting for all team members on Tuesday, July 21st at Houston Intercontinental Airport Marriott, commencing at 1:00 p.m. (CST).**

- Windham School Board Policies and Administrative Procedures Manual
- TDCJ Policy and Procedures Manual
- WSS Board agenda materials and minutes
- WSS annual performance reports for 1984-85 through 1990-91
- WSS training plan
- WSS training package for new employees
- WSS organizational charts
- WSS 1991-92 activity calendar
- WSS employee evaluations and results
- campus improvement plans at each unit
- WSS regional staffing
- WSS appraisal system
- TDCJ personnel selection system procedures
- WSS and TDCJ annual budgets
- WSS salary schedules
- WSS job descriptions
- August 1990 Performance Audit Report (Office of State Auditor)
- Academic and Vocational Curriculum Guides
- 1991-92 Approved Materials List for Academic Programs
- January 1992 Southern Association of Colleges and Schools (SACS) Report
- Summary Report: Evaluation at the Reading to Reduce Recidivism Program
- TEA Compliance Reports of the Windham School System
- WSS Test Procedures Handbook

- WSS Chapter I 1990-91 Program Evaluation
- WSS Libraries Annual Statistical Report (1990-91)
- Long-Range Plan for Developing the WSS Library Collections
- WSS Guidance Plan
- several previous management audits and special commission reports (e.g., Andersen Consulting Study of the Windham School System conducted for the TEA)

We analyzed data from each of the above sources and used the information to develop a detailed understanding of WSS structures and operations prior to, during, and following our on-site unit reviews.

### Audit Guidelines for Corrections Education Programs

Management audits must follow a set of guidelines to ensure that all operations are effectively reviewed. MGT has developed a detailed and extensive set of management audit guidelines for school districts. These were modified during the Spring 1991 pilot audits of selected Texas school districts to comply with Texas statutes and regulations. In preparation for this important project, we tailored our audit guidelines for the Windham School System in collaboration with our subcontractor (Mark D. Corrigan Associates). As the result of this initiative, comprehensive guidelines applicable to a corrections education environment were developed. These guidelines provided the vehicle for auditing both state and privately-operated corrections education programs.

While we did not utilize these guidelines verbatim, we did use them as the starting point for conducting the management and performance audit of Windham School System. By starting with a proven set of audit guidelines, we were able to conduct a more thorough management and performance audit in the limited time frame allotted for this study. To ensure that all areas identified in the Request for Proposals (RFP) were addressed, exhibit 3-2 provides a comparison and cross reference of the eight major areas identified in the RFP and the six systems included in our audit guidelines and this report. Chapter references are provided to identify the location of findings and recommendations for the various systems and components by the reader.

## EXHIBIT 3-2

## COMPARISON OF AREAS ADDRESSED IN THE RFP WITH MGT AUDIT SYSTEMS AND COMPONENTS

| RFP MAJOR AREA | MGT AUDIT SYSTEM/COMPONENT |
|---|---|
| 1. School Organization and Management | I. School Organization and Management (Chapter 5) |
| 2. Educational Service Delivery and Performance Measures | II. Education Service Delivery and Performance Measures (Chapters 5 & 11) |
| 3. Personnel Management | III. Personnel Management and Development (Chapter 8) |
| 4. Facilities | IV. Administrative and Operation Services/ Component A: Facilities Management (Chapter 10) |
| 5. Asset Management | II. Financial Management/Component C: Asset and Risk Management (Chapter 10) |
| 6. Technology Systems | V. Technology Management (Chapter 9) |
| 7. Financial Issues | II. Financial Management (Chapter 7) |
| 8. Purchasing | II. Financial Management/Component D: Purchasing (Chapter 10) |

### Employee and Inmate Surveys

To secure the involvement of wardens, school principals, professional staff, and inmates in the focus and scope of the audit, four surveys were prepared and disseminated in late June. Through the use of anonymous surveys, administrators and teachers were given the opportunity to express their views about the management and operations of the Windham School System. These surveys were similar in format and content to provide a database for determining how the opinions and perceptions of wardens, principals, and professional staff vary. Survey results are discussed in depth in chapter 4 of this report.

### Employer Surveys

A telephone survey was conducted in late July and early August of current and former employers and supervisors of Project RIO clients who had been released from TDCJ prisons during the past two years. Over 100 interviews were conducted; our results are included in section 4.3 of chapter 4.

### Impact of External Requirements

Both the TEA and TDCJ regulate the Windham School System. School systems throughout the state are subject to numerous state, federal, and local government statutes, rules, regulations, and processes which have a dramatic impact on resource deployment, work tasks, work processes, and overall operational costs. The Windham School System has many of these same educational requirements imposed by external agencies. In addition, the WSS has corrections and security requirements which have an additional impact on system and unit operations. Within this report, we identify the external requirements imposed on the WSS and, to the extent possible, the impact the requirements have on WSS operations and costs. We also analyze differences in external requirements for the corrections education programs which are under contract to the TDCJ-ID and contractually obligated to adhere to TEA regulations.

### Resource Utilization

The way in which a school system disperses its human and financial resources has a major impact on the system's effectiveness and efficiency. We show detailed analyses of the planning, budgeting, and resource deployment patterns in the WSS and private units (to the extent possible) to evaluate both effectiveness and efficiency.

## 3.3 *Scope of Work Limitations*

As stated by the Comptroller's Office, the overall objective of the performance review was to develop recommendations for improving the effectiveness of the Windham School System and also the four privately-operated units. Windham operates within the Texas Department of Criminal Justice (TDCJ) -- an umbrella organization which was formed in 1990 with the consolidation of the Texas Department of Corrections, Board of Pardons and Paroles, and the Adult Probation Commission. Unlike other school districts, Windham is subject to TDCJ as well as TEA requirements.

This management and performance audit did not include an in-depth examination of TDCJ. Both the scope of this audit, and the short time span allocated for its completion, prevented a more comprehensive analysis of the corrections agency. Further, the scope did not include an extensive examination of postsecondary education. At times, during the course of this audit, we were somewhat limited in our analyses because our focus was limited primarily to the programs and operations of the Windham School System. Issues such as the administrative structure and programmatic responsibilities of TDCJ were beyond the scope of this audit. For example, in addition to Windham's educational programs, TDCJ offers substance abuse treatment, psychological counseling, and prison industry assignments. The need for more integration of and coordination among programs became clear to us during our review of Windham. Yet, the available time, budget and scope of our audit prevented:

- a detailed review of each of the related TDCJ programs and their interrelationships;
- the development of implementation strategies to effectively integrate related functions in WSS and TDCJ.

For this reason, our audit leaves unaddressed an important set of issues regarding the improvements in efficiency and effectiveness that can result from a greater integration of TDCJ's inmate service programs, including education. We believe that these important issues should be examined. We have recommended in our report that an implementation plan be developed to more effectively integrate and coordinate TDCJ's administrative services, education, substance abuse, counseling, prison industry, and other appropriate programs and services with the Windham School System.

### *3.4 Preparing the Audit Report*

In August, 1992, we drafted our audit report, submitted it for review by the Comptroller's staff, revised the draft, then reviewed our findings with TDCJ and WSS officials. After correcting informational errors and clarifying sections of the draft, we issued this final report.

# 4.0 RESULTS OF THE SURVEYS

## 4.0 RESULTS OF SURVEYS

To secure the involvement of wardens, unit principals, professional staff (teachers, librarians, counselors, etc.) and student inmates in the focus and scope of our audit, four different surveys were prepared and disseminated in late June and early July. Through the use of anonymous surveys, administrators, professional staff and students in both public and private corrections facilities were given the opportunity to express their views about the management and operations of both the school unit, as well as the school system as a whole. In addition, an employer survey of current and former employers of Project RIO clients who had been released from TDCJ prisons during the two past years was conducted.

The wardens, principals, and staff surveys were similar in format and content to provide a database for determining how the opinions and perceptions of these three groups vary. In addition, certain items on the student inmate survey can be correlated to the other three surveys.

A brief description of the survey results and comparative analysis are presented in this chapter. Results of the individual surveys and the response frequency distribution for each item on the warden, principal, professional staff, and student inmate surveys are included on each survey instrument in Appendices B and C.

In mail surveys of this type which we have conducted previously in school districts, a response rate of less than 50% is expected. As shown in exhibit 4-1, the response rate for each of the surveys which we conducted, in most cases, is significantly higher.

## EXHIBIT 4-1

## RESPONSE RATE OF SURVEYS

| SURVEY TYPE | PUBLIC UNITS | | | PRIVATE UNITS | | |
|---|---|---|---|---|---|---|
| | Total Sent | Total Returned | Response Rate | Total Sent | Total Returned | Response Rate |
| Warden | 35 | 34 | 97% | 4 | 4 | 100% |
| Principal | 35 | 31 | 89% | 4 | 4 | 100% |
| Professional Staff | 701 | 493 | 70% | 66 | 33 | 50% |
| Inmates | 2,577 | 1,340 | 52% | 100 | 67 | 67% |

### 4.1 Wardens, Principals, and Professional Staff Surveys

In general, the responses to the survey items for wardens, principals and professional staff are relatively positive. Nonetheless, as might be expected, we found concerns on a wide range of issues. Also, as expected, we found that the different groups (e.g., wardens, principals, professional staff) often disagree on the importance of certain issues and concerns. The comparative analysis of survey results is displayed in exhibit 4-2. This exhibit presents a comparison of the responses of different groups on the 58 survey items that were similar or identical for two or more of the three groups surveyed. We have separated responses of the respondents in the public units from those in the four privately units managed by Corrections Corporation of America (CCA) and Wackenhut Corporation.

In preparing exhibit 4-2, we aggregated the response frequencies for many items to simplify the comparative analyses. For example, we combined the *strongly agree* and the *agree* responses, and the *strongly disagree* and the *disagree* responses and show only one percentage to indicate the level of agreement and disagreement with the survey

## EXHIBIT 4-2
## COMPARATIVE SURVEY RESPONSES
## WARDENS, PRINCIPALS, AND STAFF

| SURVEY QUESTION | Public Units (WSS) | | | Private Units | | |
|---|---|---|---|---|---|---|
| | Warden (n=34) | Principal (n=31) | Staff (n=493) | Warden (n=4) | Principal (n=4) | Staff (n=33) |
| 1. I think the overall quality of education in the WSS/Corrections Education Program (CEP) is: | | | | | | |
| Excellent/Good | 85% | 100% | 90% | 100% | 75% | 82% |
| Fair/Poor | 15% | 0% | 10% | 0% | 25% | 15% |
| Don't Know | 0% | 0% | 0% | 0% | 0% | 0% |
| No Response | 0% | 0% | 1% | 0% | 0% | 3% |
| 2. I think the overall quality of education in WSS/Corrections Education Program (CEP) is: | | | | | | |
| Improving | 71% | 94% | 73% | 100% | 100% | 70% |
| Staying the Same | 26% | 6% | 17% | 0% | 0% | 9% |
| Getting Worse | 3% | 0% | 5% | 0% | 0% | 9% |
| Don't Know | 0% | 0% | 4% | 0% | 0% | 9% |
| No Response | 0% | 0% | 1% | 0% | 0% | 3% |
| 3. In general, what grade would you give the WSS/CEP teachers? | | | | | | |
| A/B | 85% | 100% | 90% | 100% | 100% | 91% |
| C | 9% | 0% | 6% | 0% | 0% | 6% |
| D/F | 0% | 0% | 1% | 0% | 0% | 0% |
| Don't Know | 3% | 0% | 2% | 0% | 0% | 3% |
| No Response | 3% | 0% | 1% | 0% | 0% | 0% |
| 4. What grade would you give the principals in WSS/CEP? | | | | | | |
| A/B | 88% | 97% | 79% | 75% | 100% | 88% |
| C | 9% | 3% | 12% | 25% | 0% | 6% |
| D/F | 3% | 0% | 6% | 0% | 0% | 6% |
| Don't Know | 0% | 0% | 2% | 0% | 0% | 0% |
| No Response | 0% | 0% | 1% | 0% | 0% | 0% |
| 5. The emphasis on learning in WSS/CEP has increased in recent years. | | | | | | |
| Strongly Agree/Agree | 79% | 91% | 71% | 100% | 75% | 54% |
| Neutral | 12% | 6% | 8% | 0% | 0% | 6% |
| Disagree/Strongly Disagree | 9% | 3% | 10% | 0% | 25% | 12% |
| Don't Know | 0% | 0% | 11% | 0% | 0% | 27% |
| 6. Most student inmates are motivated to learn. | | | | | | |
| Strongly Agree/Agree | 32% | 74% | 51% | 50% | 50% | 54% |
| Neutral | 32% | 6% | 21% | 25% | 25% | 6% |
| Disagree/Strongly Disagree | 36% | 19% | 26% | 25% | 25% | 33% |
| Don't Know | 0% | 0% | 2% | 0% | 0% | 6% |
| 7. Lessons are individualized to meet student inmate needs. | | | | | | |
| Strongly Agree/Agree | 68% | 94% | 83% | 100% | 100% | 72% |
| Neutral | 12% | 6% | 8% | 0% | 0% | 9% |
| Disagree/Strongly Disagree | 15% | 0% | 7% | 0% | 0% | 12% |
| Don't Know | 6% | 0% | 2% | 0% | 0% | 6% |

## EXHIBIT 4-2 (Cont'd)
## COMPARATIVE SURVEY RESPONSES
## WARDENS, PRINCIPALS, AND STAFF

| | Public Units (WSS) | | | Private Units | | |
|---|---|---|---|---|---|---|
| SURVEY QUESTION | Warden (n=34) | Principal (n=31) | Staff (n=493) | Warden (n=4) | Principal (n=4) | Staff (n=33) |
| 8. The curriculum is broad and challenging for most student inmates. | | | | | | |
| Strongly Agree/Agree | 56% | 97% | 78% | 75% | 100% | 64% |
| Neutral | 29% | 0% | 10% | 0% | 0% | 9% |
| Disagree/Strongly Disagree | 9% | 3% | 11% | 0% | 0% | 21% |
| Don't Know | 6% | 0% | 2% | 25% | 0% | 6% |
| 9. There is little a teacher can do to overcome education problems due to an inmate's past experience. | | | | | | |
| Strongly Agree/Agree | 21% | 0% | 7% | 0% | 0% | 6% |
| Neutral | 6% | 3% | 11% | 0% | 0% | 12% |
| Disagree/Strongly Disagree | 74% | 96% | 81% | 100% | 100% | 78% |
| Don't Know | 0% | 0% | 2% | 0% | 0% | 3% |
| 10. Teachers in this unit know the material they teach. | | | | | | |
| Strongly Agree/Agree | 89% | 96% | 96% | 100% | 75% | 87% |
| Neutral | 3% | 3% | 2% | 0% | 0% | 6% |
| Disagree/Strongly Disagree | 3% | 0% | 1% | 0% | 25% | 0% |
| Don't Know | 6% | 0% | 1% | 0% | 0% | 6% |
| 11. Teachers in this unit care about student inmate needs. | | | | | | |
| Strongly Agree/Agree | 86% | 96% | 91% | 100% | 100% | 84% |
| Neutral | 15% | 3% | 6% | 0% | 0% | 3% |
| Disagree/Strongly Disagree | 0% | 0% | 2% | 0% | 0% | 3% |
| Don't Know | 0% | 0% | 1% | 0% | 0% | 9% |
| 12. Teachers expect students to do their best. | | | | | | |
| Strongly Agree/Agree | 92% | 97% | 91% | 100% | 100% | 75% |
| Neutral | 9% | 3% | 5% | 0% | 0% | 9% |
| Disagree/Strongly Disagree | 0% | 0% | 3% | 0% | 0% | 3% |
| Don't Know | 0% | 0% | 1% | 0% | 0% | 12% |
| 13. Teachers' work in meeting student/inmate individual learning needs is: | | | | | | |
| Excellent/Good | 77% | 94% | 90% | 50% | 75% | 87% |
| Fair/Poor | 21% | 6% | 9% | 50% | 25% | 9% |
| Don't Know | 3% | 0% | 1% | 0% | 0% | 3% |
| 14. Teachers' work in communicating with security staff is: | | | | | | |
| Excellent/Good | 65% | 78% | 78% | 75% | 75% | 54% |
| Fair/Poor | 36% | 23% | 21% | 25% | 25% | 39% |
| Don't Know | 0% | 0% | 2% | 0% | 0% | 6% |
| 15. Teachers' attitudes about their jobs are: | | | | | | |
| Excellent/Good | 86% | 87% | 76% | 50% | 75% | 63% |
| Fair/Poor | 15% | 13% | 23% | 50% | 25% | 30% |
| Don't Know | 0% | 0% | 2% | 0% | 0% | 6% |
| | Public Units (WSS) | | | Private Units | | |

## EXHIBIT 4-2 (Cont'd)
## COMPARATIVE SURVEY RESPONSES
## WARDENS, PRINCIPALS, AND STAFF

| SURVEY QUESTION | Warden (n=34) | Principal (n=31) | Staff (n=493) | Warden (n=4) | Principal (n=4) | Staff (n=33) |
|---|---|---|---|---|---|---|
| 16. Student inmate ability to learn is: | | | | | | |
| Excellent/Good | 47% | 83% | 56% | 25% | 50% | 67% |
| Fair/Poor | 53% | 16% | 42% | 75% | 50% | 30% |
| Don't Know | 0% | 0% | 2% | 0% | 0% | 3% |
| 17. The amount of time students are available for class: | | | | | | |
| Excellent/Good | 91% | 81% | 81% | 100% | 100% | 76% |
| Fair/Poor | 9% | 19% | 19% | 0% | 0% | 21% |
| Don't Know | 0% | 0% | 1% | 0% | 0% | 3% |
| 18. Student inmates school work is: | | | | | | |
| Excellent/Good | 33% | 68% | 57% | 75% | 75% | 57% |
| Fair/Poor | 65% | 29% | 40% | 25% | 25% | 39% |
| Don't Know | 3% | 3% | 4% | 0% | 0% | 3% |
| 19. Education can break the crime cycle. | | | | | | |
| Strongly Agree/Agree | 47% | 94% | 84% | 50% | 100% | 75% |
| Neutral | 21% | 3% | 8% | 50% | 0% | 12% |
| Disagree/Strongly Disagree | 32% | 0% | 4% | 0% | 0% | 9% |
| Don't Know | 0% | 3% | 4% | 0% | 0% | 3% |
| 20. Education helps reduce the desire of inmates to commit crimes. | | | | | | |
| Strongly Agree/Agree | 29% | 78% | 69% | 0% | 75% | 63% |
| Neutral | 26% | 6% | 14% | 75% | 25% | 18% |
| Disagree/Strongly Disagree | 35% | 3% | 8% | 25% | 0% | 12% |
| Don't Know | 9% | 13% | 8% | 0% | 0% | 6% |
| 21. The academic offerings at your unit are reflective of the current job market. | | | | | | |
| Strongly Agree/Agree | 50% | 94% | 64% | 100% | 75% | 57% |
| Neutral | 24% | 3% | 19% | 0% | 0% | 21% |
| Disagree/Strongly Disagree | 12% | 3% | 10% | 0% | 25% | 9% |
| Don't Know | 15% | 0% | 8% | 0% | 0% | 12% |
| 22. The vocational offerings at your unit are reflective of the current job market. | | | | | | |
| Strongly Agree/Agree | 74% | 90% | 71% | 100% | 50% | 48% |
| Neutral | 12% | 3% | 11% | 0% | 0% | 21% |
| Disagree/Strongly Disagree | 12% | 6% | 12% | 0% | 50% | 18% |
| Don't Know | 3% | 0% | 6% | 0% | 0% | 12% |
| 23. The educational programs adequately provide the socialization which is needed to prepare inmates for a life of legitimate work. | | | | | | |
| Strongly Agree/Agree | 33% | 81% | 59% | 50% | 75% | 42% |
| Neutral | 26% | 10% | 19% | 25% | 0% | 15% |
| Disagree/Strongly Disagree | 29% | 6% | 16% | 25% | 25% | 27% |
| Don't Know | 12% | 3% | 7% | 0% | 0% | 15% |
| | Public Units (WSS) | | | Private Units | | |

## EXHIBIT 4-2 (Cont'd)
## COMPARATIVE SURVEY RESPONSES
## WARDENS, PRINCIPALS, AND STAFF

| SURVEY QUESTION | Warden (n=34) | Principal (n=31) | Staff (n=493) | Warden (n=4) | Principal (n=4) | Staff (n=33) |
|---|---|---|---|---|---|---|
| 24. Inmates are trained through educational programs in prison to obtain jobs upon release. | | | | | | |
| Strongly Agree/Agree | 68% | 94% | 75% | 75% | 75% | 69% |
| Neutral | 12% | 3% | 12% | 0% | 0% | 15% |
| Disagree/Strongly Disagree | 21% | 3% | 10% | 25% | 25% | 3% |
| Don't Know | 0% | 0% | 3% | 0% | 0% | 12% |
| 25. Inmates are able to find jobs in the areas for which they have received academic/vocational training in prison. | | | | | | |
| Strongly Agree/Agree | 21% | 35% | 29% | 25% | 50% | 36% |
| Neutral | 38% | 19% | 26% | 25% | 0% | 15% |
| Disagree/Strongly Disagree | 21% | 3% | 8% | 25% | 25% | 9% |
| Don't Know | 21% | 42% | 36% | 25% | 25% | 39% |
| 26. Inmates should be given reduced custody for participating in education programs. | | | | | | |
| Strongly Agree/Agree | 9% | 42% | 29% | 0% | 50% | 30% |
| Neutral | 6% | 29% | 22% | 25% | 0% | 15% |
| Disagree/Strongly Disagree | 85% | 22% | 40% | 75% | 50% | 36% |
| Don't Know | 0% | 6% | 8% | 0% | 0% | 18% |
| 27. In general, what grade would you give the Central administrators in WSS? | | | | | | |
| A/B | 73% | 81% | 55% | N/A | N/A | N/A |
| C | 12% | 19% | 24% | | | |
| D/F | 9% | 0% | 15% | | | |
| Don't know | 3% | 0% | 5% | | | |
| No Response | 3% | 0% | 1% | | | |
| 28. There is administrative support for controlling student behavior in this unit. | | | | | | |
| Strongly Agree/Agree | 97% | 96% | 76% | 100% | 75% | 54% |
| Neutral | 0% | 0% | 8% | 0% | 0% | 6% |
| Disagree/Strongly Disagree | 3% | 3% | 14% | 0% | 25% | 12% |
| Don't Know | 0% | 0% | 2% | 0% | 0% | 27% |
| 29. Principals' work as the instructional leaders of their units is: | | | | | | |
| Excellent/Good | 88% | 84% | 73% | 100% | 75% | 82% |
| Fair/Poor | 12% | 16% | 25% | 0% | 25% | 9% |
| Don't Know | 0% | 0% | 2% | 0% | 0% | 9% |
| 30. Principals' work as the managers of their staff and teachers is: | | | | | | |
| Excellent/Good | 88% | 93% | 77% | 75% | 75% | 85% |
| Fair/Poor | 12% | 6% | 22% | 25% | 25% | 9% |
| Don't Know | 0% | 0% | 1% | 0% | 0% | 6% |

# EXHIBIT 4-2 (Cont'd)
# COMPARATIVE SURVEY RESPONSES
# WARDENS, PRINCIPALS, AND STAFF

| SURVEY QUESTION | Public Units (WSS) | | | Private Units | | |
|---|---|---|---|---|---|---|
| | Warden (n=34) | Principal (n=31) | Staff (n=493) | Warden (n=4) | Principal (n=4) | Staff (n=33) |
| 31. The feedback provided to teachers in your unit about their teaching performance is: | | | | | | |
| Excellent/Good | 42% | 97% | 71% | 75% | 75% | 60% |
| Fair/Poor | 56% | 3% | 27% | 25% | 25% | 33% |
| Don't Know | 3% | 0% | 3% | 0% | 0% | 6% |
| 32. Is there a direct line of communication between you and the principal that provides for communication and coordination? | | | | | | |
| Yes | 100% | N/A | N/A | 100% | N/A | N/A |
| No | 0% | | | 0% | | |
| 33. Is there a direct line of communication between you and the warden that provides for communication and coordination? | | | | | | |
| Yes | N/A | 97% | N/A | N/A | 75% | N/A |
| No | | 3% | | | 25% | |
| 34. Do you receive all information needed from the district office to manage the education program in your unit? | | | | | | |
| Yes | N/A | 97% | N/A | N/A | 25% | N/A |
| No | | 3% | | | 75% | |
| 35. Principals' work in communicating with security staff is: | | | | | | |
| Excellent/Good | 80% | 90% | 76% | 50% | 75% | 57% |
| Fair/Poor | 21% | 10% | 19% | 50% | 25% | 33% |
| Don't Know | 0% | 0% | 6% | 0% | 0% | 9% |
| 36. The Board of Criminal Justice's knowledge of the educational needs of inmates is: | | | | | | |
| Excellent/Good | 42% | 55% | 36% | 25% | 25% | 24% |
| Fair/Poor | 44% | 33% | 33% | 75% | 75% | 42% |
| Don't Know | 15% | 13% | 31% | 0% | 0% | 33% |
| 37. The Board of Criminal Justice's knowledge of the operations of the WSS/CEP is: | | | | | | |
| Excellent/Good | 45% | 59% | 38% | 0% | 25% | 21% |
| Fair/Poor | 38% | 29% | 30% | 75% | 50% | 45% |
| Don't Know | 18% | 13% | 32% | 25% | 25% | 33% |
| 38. Windham/Corrections Education Program school board members' work at setting or revising policies for the WSS/CEP is: | | | | | | |
| Excellent/Good | 47% | 58% | 48% | 25% | 0% | 12% |
| Fair/Poor | 27% | 19% | 27% | 75% | 50% | 33% |
| Don't Know | 27% | 23% | 26% | 0% | 50% | 54% |

## EXHIBIT 4-2 (Cont'd)
## COMPARATIVE SURVEY RESPONSES
## WARDENS, PRINCIPALS, AND STAFF

| SURVEY QUESTION | Public Units (WSS) | | | Private Units | | |
|---|---|---|---|---|---|---|
| | Warden (n=34) | Principal (n=31) | Staff (n=493) | Warden (n=4) | Principal (n=4) | Staff (n=33) |
| 39. The WSS superintendent's work as the instructional leader of WSS is: | | | | | | |
| Excellent/Good | 65% | 81% | 65% | N/A | N/A | N/A |
| Fair/Poor | 29% | 19% | 28% | | | |
| Don't Know | 6% | 0% | 7% | | | |
| 40. The WSS superintendent's work as the chief administrator (manager) of this school system is: | | | | | | |
| Excellent/Good | 77% | 83% | 68% | N/A | N/A | N/A |
| Fair/Poor | 21% | 16% | 24% | | | |
| Don't Know | 3% | 0% | 8% | | | |
| 41. The commitment of the TDCJ-ID for corrections education is: | | | | | | |
| Excellent/Good | 91% | 81% | 52% | 25% | 25% | 45% |
| Fair/Poor | 9% | 19% | 37% | 50% | 75% | 36% |
| Don't Know | 0% | 0% | 12% | 25% | 0% | 18% |
| 42. The commitment of the TEA for corrections education is: | | | | | | |
| Excellent/Good | 53% | 75% | 54% | 0% | 0% | 45% |
| Fair/Poor | 15% | 23% | 23% | 50% | 75% | 27% |
| Don't Know | 32% | 3% | 23% | 50% | 25% | 27% |
| 43. The WSS/CEP commitment to making the WSS/CEP a better place in which to work is: | | | | | | |
| Excellent/Good | 65% | 81% | 58% | 50% | 50% | 33% |
| Fair/Poor | 21% | 19% | 36% | 25% | 50% | 42% |
| Don't Know | 15% | 0% | 6% | 25% | 0% | 24% |
| 44. Is there a direct line of communication between your unit and the WSS/CEP administration that provides for timely and efficient planning, management, and operation of your education program? | | | | | | |
| Yes | 76% | 97% | N/A | 0% | 50% | N/A |
| No | 21% | 0% | | 100% | 50% | |
| No Response | 3% | 3% | | | | |
| 45. Are the inmates who would benefit most from academic or vocational education programs provided by the WSS/CEP actually receiving these educational services? | | | | | | |
| Yes | 82% | N/A | 82% | 100% | N/A | 79% |
| No | 15% | | 12% | 0% | | 9% |
| No Response | 3% | | 6% | 0% | | 12% |

## EXHIBIT 4-2 (Cont'd)
## COMPARATIVE SURVEY RESPONSES
## WARDENS, PRINCIPALS, AND STAFF

| SURVEY QUESTION | Public Units (WSS) Warden (n=34) | Public Units (WSS) Principal (n=31) | Public Units (WSS) Staff (n=493) | Private Units Warden (n=4) | Private Units Principal (n=4) | Private Units Staff (n=33) |
|---|---|---|---|---|---|---|
| 46. Basic skills education is essential to a successful corrections education program. | | | | | | |
| Strongly Agree/Agree | 100% | 100% | 98% | 100% | 100% | 97% |
| Neutral | 0% | 0% | 1% | 0% | 0% | 0% |
| Disagree/Strongly Disagree | 0% | 0% | 0% | 0% | 0% | 0% |
| Don't Know | 0% | 0% | 1% | 0% | 0% | 3% |
| 47. Vocational education is essential to a successful corrections education program. | | | | | | |
| Strongly Agree/Agree | 97% | 100% | 94% | 100% | 100% | 85% |
| Neutral | 0% | 0% | 1% | 0% | 0% | 0% |
| Disagree/Strongly Disagree | 0% | 0% | 1% | 0% | 0% | 0% |
| Don't Know | 3% | 0% | 3% | 0% | 0% | 15% |
| 48. Socialization education is essential to a successful corrections skills education program. | | | | | | |
| Strongly Agree/Agree | 88% | 100% | 92% | 75% | 100% | 82% |
| Neutral | 9% | 0% | 3% | 25% | 0% | 3% |
| Disagree/Strongly Disagree | 0% | 0% | 1% | 0% | 0% | 0% |
| Don't Know | 3% | 0% | 4% | 0% | 0% | 15% |
| 49. The people of Texas support inmate education. | | | | | | |
| Strongly Agree/Agree | 41% | 35% | 37% | 25% | 50% | 33% |
| Neutral | 26% | 26% | 21% | 50% | 50% | 18% |
| Disagree/Strongly Disagree | 24% | 9% | 18% | 25% | 0% | 18% |
| Don't Know | 9% | 29% | 23% | 0% | 0% | 30% |
| 50. Public tax dollars are being used wisely to support education in WSS/CEP. | | | | | | |
| Strongly Agree/Agree | 62% | 93% | 78% | 25% | 75% | 51% |
| Neutral | 12% | 3% | 8% | 25% | 25% | 21% |
| Disagree/Strongly Disagree | 24% | 3% | 11% | 50% | 0% | 9% |
| Don't Know | 3% | 0% | 4% | 0% | 0% | 18% |
| 51. The opportunities provided by the WSS/CEP to improve the skills of teachers are: | | | | | | |
| Excellent/Good | 50% | 58% | 53% | 75% | 75% | 30% |
| Fair/Poor | 15% | 42% | 45% | 25% | 25% | 54% |
| Don't Know | 35% | 0% | 2% | 0% | 0% | 15% |
| 52. The opportunities provided by the WSS/CEP to improve the skills of principals are: | | | | | | |
| Excellent/Good | 50% | 58% | 37% | 50% | 25% | 21% |
| Fair/Poor | 15% | 42% | 21% | 0% | 75% | 36% |
| Don't Know | 35% | 0% | 41% | 50% | 0% | 42% |

## EXHIBIT 4-2 (Cont'd)
## COMPARATIVE SURVEY RESPONSES
## WARDENS, PRINCIPALS, AND STAFF

| SURVEY QUESTION | Public Units (WSS) | | | Private Units | | |
|---|---|---|---|---|---|---|
| | Warden (n=34) | Principal (n=31) | Staff (n=493) | Warden (n=4) | Principal (n=4) | Staff (n=33) |
| 53. Do you have a substantial voice in the hiring, termination, and evaluation of teachers in your school? | | | | | | |
| Yes | N/A | 87% | N/A | N/A | 100% | N/A |
| No | | 10% | | | 0% | |
| No Response | | 3% | | | 0% | |
| 54. This unit has most materials and supplies necessary for instruction. | | | | | | |
| Strongly Agree/Agree | 94% | 97% | 79% | 100% | 50% | 66% |
| Neutral | 3% | 3% | 6% | 0% | 0% | 9% |
| Disagree/Strongly Disagree | 3% | 0% | 14% | 0% | 50% | 18% |
| Don't Know | 0% | 0% | 1% | 0% | 0% | 6% |
| 55. Sufficient opportunities are provided in WSS/CEP for student services (e.g., counseling, speech therapy, health). | | | | | | |
| Strongly Agree/Agree | 74% | 88% | 64% | 100% | 75% | 42% |
| Neutral | 12% | 3% | 12% | 0% | 0% | 15% |
| Disagree/Strongly Disagree | 12% | 6% | 17% | 0% | 25% | 33% |
| Don't Know | 3% | 3% | 7% | 0% | 0% | 9% |
| 56. In general, space and facilities in WSS/CEP are sufficient to support the instructional programs. | | | | | | |
| Strongly Agree/Agree | 71% | 55% | 62% | 50% | 75% | 45% |
| Neutral | 3% | 13% | 5% | 50% | 0% | 15% |
| Disagree/Strongly Disagree | 27% | 33% | 31% | 0% | 25% | 36% |
| Don't Know | 0% | 0% | 2% | 0% | 0% | 3% |
| 57. The condition in which classrooms are kept is: | | | | | | |
| Excellent/Good | 85% | 94% | 85% | 75% | 100% | 63% |
| Fair/Poor | 15% | 6% | 14% | 25% | 0% | 33% |
| Don't Know | 0% | 0% | 0% | 0% | 0% | 0% |

## EXHIBIT 4-2 (Cont'd)
## COMPARATIVE SURVEY RESPONSES
## WARDENS, PRINCIPALS, AND STAFF

| SURVEY QUESTION | Public Units (WSS) | | | Private Units | | |
|---|---|---|---|---|---|---|
| | Warden (n=34) | Principal (n=31) | Staff (n=493) | Warden (n=4) | Principal (n=4) | Staff (n=33) |
| 58. Using a scale of 1-5 (5 being the best ratio), please rate the combined efficiency and effectiveness of each of the following services: | | | | | | |
| a. Instructional Services | | | | | | |
| 1/2 | 6% | 3% | 7% | 0% | 0% | 3% |
| 3 | 18% | 23% | 17% | 0% | 25% | 15% |
| 4/5 | 71% | 74% | 70% | 100% | 75% | 70% |
| Don't Know | 6% | 0% | 6% | 0% | 0% | 12% |
| Mean* | 3.9 | 4.0 | 4.0 | 4.5 | 4.5 | 4.1 |
| b. Maintenance Services | | | | | | |
| 1/2 | 8% | 0% | 12% | 0% | 0% | 9% |
| 3 | 24% | 26% | 25% | 0% | 0% | 18% |
| 4/5 | 56% | 64% | 53% | 100% | 100% | 60% |
| Don't Know | 12% | 10% | 10% | 0% | 0% | 12% |
| Mean* | 3.6 | 3.9 | 3.6 | 4.2 | 4.2 | 3.8 |
| c. Custodial Services | | | | | | |
| 1/2 | 15% | 0% | 9% | 0% | 0% | 15% |
| 3 | 15% | 3% | 24% | 0% | 0% | 21% |
| 4/5 | 62% | 74% | 56% | 75% | 100% | 52% |
| Don't Know | 9% | 23% | 10% | 25% | 0% | 12% |
| Mean* | 3.6 | 4.2 | 3.7 | 4.3 | 4.2 | 3.7 |
| d. Technical Management | | | | | | |
| 1/2 | 3% | 3% | 11% | 0% | 25% | 15% |
| 3 | 18% | 13% | 24% | 25% | 25% | 33% |
| 4/5 | 71% | 81% | 51% | 75% | 50% | 39% |
| Don't Know | 9% | 3% | 14% | 0% | 0% | 12% |
| Mean* | 3.9 | 4.1 | 3.6 | 4.0 | 3.2 | 3.5 |
| e. Personnel Services | | | | | | |
| 1/2 | 6% | 3% | 17% | 0% | 25% | 15% |
| 3 | 24% | 16% | 23% | 25% | 25% | 27% |
| 4/5 | 65% | 81% | 52% | 75% | 50% | 45% |
| Don't Know | 6% | 0% | 7% | 0% | 0% | 12% |
| Mean* | 3.8 | 4.1 | 3.5 | 4.0 | 3.2 | 3.5 |
| f. Inmate Tracking | | | | | | |
| 1/2 | 12% | 6% | 10% | 0% | 25% | 12% |
| 3 | 15% | 19% | 19% | 25% | 0% | 21% |
| 4/5 | 68% | 71% | 58% | 75% | 75% | 54% |
| Don't Know | 6% | 3% | 13% | 0% | 0% | 12% |
| Mean* | 3.9 | 3.9 | 3.8 | 4.0 | 3.7 | 3.8 |

*Mean calculated based upon only valid responses of 1, 2, 3, 4, and 5 – "Don't Know" responses eliminated.

## EXHIBIT 4-2 (Cont'd)
## COMPARATIVE SURVEY RESPONSES
## WARDENS, PRINCIPALS, AND STAFF

| SURVEY QUESTION | Public Units (WSS) | | | Private Units | | |
|---|---|---|---|---|---|---|
| | Warden (n=34) | Principal (n=31) | Staff (n=493) | Warden (n=4) | Principal (n=4) | Staff (n=33) |
| 58. Using a scale of 1-5 (5 being the best ratio), please rate the combined efficiency and effectiveness of each of the following services: | | | | | | |
| g. Financial Services | | | | | | |
| 1/2 | 3% | 3% | 12% | 0% | 25% | 21% |
| 3 | 24% | 10% | 24% | 0% | 25% | 30% |
| 4/5 | 62% | 84% | 45% | 100% | 25% | 33% |
| Don't Know | 12% | 3% | 18% | 0% | 25% | 15% |
| Mean* | 3.9 | 4.1 | 3.5 | 4.0 | 3.0 | 3.0 |
| h. Staff Development | | | | | | |
| 1/2 | 12% | 10% | 19% | 0% | 25% | 21% |
| 3 | 29% | 19% | 22% | 25% | 0% | 21% |
| 4/5 | 53% | 71% | 52% | 75% | 75% | 42% |
| Don't Know | 6% | 0% | 6% | 0% | 0% | 15% |
| Mean* | 3.6 | 3.9 | 3.5 | 4.2 | 3.5 | 3.4 |
| i. Facilities | | | | | | |
| 1/2 | 15% | 3% | 14% | 0% | 0% | 18% |
| 3 | 18% | 26% | 24% | 50% | 25% | 15% |
| 4/5 | 59% | 71% | 57% | 50% | 75% | 55% |
| Don't Know | 9% | 0% | 6% | 0% | 0% | 12% |
| Mean* | 3.7 | 3.9 | 3.6 | 3.5 | 3.7 | 3.6 |
| j. Purchasing | | | | | | |
| 1/2 | 0% | 6% | 23% | 0% | 50% | 33% |
| 3 | 35% | 19% | 29% | 25% | 25% | 15% |
| 4/5 | 53% | 74% | 38% | 75% | 25% | 30% |
| Don't Know | 12% | 0% | 9% | 0% | 0% | 21% |
| Mean* | 3.8 | 3.9 | 3.2 | 4.0 | 2.5 | 2.7 |
| k. Planning and Budgeting | | | | | | |
| 1/2 | 12% | 6% | 19% | 0% | 50% | 37% |
| 3 | 24% | 13% | 27% | 25% | 25% | 6% |
| 4/5 | 53% | 77% | 43% | 75% | 25% | 36% |
| Don't Know | 12% | 3% | 10% | 0% | 0% | 21% |
| Mean* | 3.6 | 4.0 | 3.3 | 3.7 | 2.5 | 2.8 |

*Mean calculated based upon only valid responses of 1, 2, 3, 4, and 5 -- "Don't Know" responses eliminated.

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statement. Likewise, we combined *excellent* and *good* ratings (or *A* and *B* grades), and *fair* and *poor* ratings (or *D* and *F* grades) and show the combined percentages. The disaggregated response percentages for each item are presented in the appendices for those who wish to review the more detailed data. Due to rounding or omission of non-comparable response choices, not all percentages will sum to 100%. Rounding is also responsible for minor differences between the disaggregated percentages shown in the other appendices and their aggregations shown in exhibit 4-2.

A general summary of the results of the comparative analysis of the wardens, principals and staff surveys is presented below:

- When responding to the same item, principals and professional staff are generally more positive than wardens in the public units. The public unit respondents tend to be more positive than private unit respondents.
- Over 85% of all respondents in the public units rate the quality of education in WSS as *good* or *excellent*.
- All but two principals in both public and private units believe the quality of education is improving; 73% of the professional staff who responded agree.
- Over 90% of the staff and 100% of principal respondents rate corrections education teachers as *A* or *B*.
- Over 75% of all respondents rate the principals as *A* or *B*.
- Most respondents believe lessons are individualized to meet student inmate needs; yet less than half of the wardens and professional staff believe the student inmates are motivated to learn.
- While almost all principals believe the curriculum is broad and challenging for inmates, about 25% of the staff and wardens either disagree or are not sure.
- Over 84% of all respondents believe that teachers care about inmates' needs.
- Over 90% of respondents in public units believe that teachers expect students to do their best; only 75% of staff in the private units concur.

- A disparity exists between public and private units in the perceptions of wardens regarding teachers' work in meeting individual inmate learning needs. Half of the wardens in the private units believe teachers work in meeting learning needs is *fair* or *poor*; only 21% in the public units concur.
- Teachers' attitudes about their jobs as perceived by the wardens, principals, and staff are significantly more positive in the public units.
- The majority of wardens believe that student inmates ability to learn is *fair* or *poor*; about 40% of the staff agree.
- While over 95% of principals believe that education can break the crime cycle, less than 50% of the wardens agree.
- Only about 60% of the professional staff (64% public and 57% private) believe that the academic offerings are reflective of the current job market. Only about 48% of the staff in private units believe vocational offerings are reflective of the current job market; 71% of staff in public units believe that vocational offerings are reflective of the current job market.
- With the exception of unit principals, less than a majority of respondents (staff and wardens) agree that the education programs adequately provide the socialization which is needed to prepare inmates for a life of legitimate work.
- About three-fourths of all respondents agree that inmates are trained through education programs in prison to obtain jobs upon release.
- Over one-third of all respondents do not know if inmates are able to find jobs in the areas for which they received training in prison.
- Only three out of 38 wardens who responded and, only 30% of the professional staff, believe that inmates should be given reduced custody for participating in educational programs. A higher percentage of principal respondents (about 45%) agree with this mandate.
- Over three-fourths of all respondents believe that there is administrative support for controlling student behavior. Only slightly over half of private unit staff concur.
- Over 75% of all respondents assess principals' work as both an instructional leader and manager of staff as *good* or *excellent*.
- Only one out of four private unit principals believe that he/she receives all information needed from the headquarters office to manage the education program at the unit level.

- Less than 50% of all respondents assess the Board of Criminal Justice's knowledge of educational operations, educational needs of inmates, and work in setting policy as *good* or *excellent*.
- Over 80% of the public unit wardens and principals, but only 52% of the staff, rate the TDCJ-ID commitment for corrections education as *excellent* or *good*.
- About 75% of the public unit principals, but only about 54% of the wardens and staff, rate the TEA commitment for corrections education as either *excellent* or *good*.
- Less than 50% of all respondents agree that the people in Texas support inmate education.
- Most principals, but fewer staff and wardens, concur that public tax dollars are being used wisely to support inmate education in Texas.
- Although over 50% of the respondents rate staff development opportunities as either *excellent* or *good*, a significant percentage of principals (42%) and staff (45%) in public units rate staff development as either *fair* or *poor*.
- Seventy-nine percent (79%) of the staff in public units and 66% of staff in private units have most of the materials and supplies necessary for instruction.
- About 64% of staff in public units state that sufficient opportunities for student services (e.g., counseling, speech therapy, etc.) are provided to inmates; only 42% of staff in private units agree.
- About 62% of the public professional staff and only 45% of the private unit staff believe that space and facilities are sufficient to support instructional programs.
- As evident in exhibit 4-2 and in the above observations about the information in the exhibit, the principals and teachers in the privately managed units have a much lower opinion of the quality of the education programs and operations in their units than their counterparts in the public units.

## 4.2 Inmate Survey

Surveys were disseminated to approximately 2,700 randomly selected inmates in all public and private corrections facilities. Principals were sent labeled inmate surveys for distribution to inmates at each unit. Inmates in the survey sample included both participants and non-participants in the corrections education programs. Complete results of the inmate survey are included in Appendix C for both public and private unit educational programs.

Over 1,400 inmates responded (53% overall return rate). These included 1,340 in public facilities and 67 inmates in private facilities. Over half of the inmates in each type of facility had been in prison before, and approximately one-half of the respondents (47% public; 79% private) were currently enrolled in education classes. Overy 75% of the inmates believe that taking classes will help them secure a job after they complete their prison term.

Three non-demographic items on the inmate survey were similar to items found on the surveys of wardens, principals, and professional staff of schools in the public and private prison units. Exhibit 4-3 summarizes the responses of the four different groups at the two types of prison units to the three common survey items. As seen in the exhibit:

- Inmates who are taking classes at prison units give higher ratings to teachers at public units than to teachers at private units. However, at both public and private units, over three-fourths of the inmates, wardens, principals, and teachers themselves give teachers at these units above average grades.
- About 70% of the inmates at both public and private units give their principals above average grades. A large majority of wardens, principals, and professional school staff similarly gave high ratings to principals.
- About three-fourths of the inmates at public and private units believe that prison education programs help inmates obtain jobs when they are released from prison. A large majority of wardens, principals, and professional staff also held this belief.

Thus, on the three substantive survey items directed to all four groups, inmates' perceptions closely matched those of the wardens and the professionals in the prison schools.

### EXHIBIT 4-3

### COMPARATIVE RESPONSES OF INMATES, WARDENS, PRINCIPALS, AND PROFESSIONAL SCHOOL STAFF ON THREE COMMON SURVEY ITEMS

| | PUBLIC UNITS | | | | PRIVATE UNITS | | | |
|---|---|---|---|---|---|---|---|---|
| **Percent Who:** | **Inmate** | **Warden** | **Principal** | **Staff** | **Inmate** | **Warden** | **Principal** | **Staff** |
| Give above average grades (As or Bs) to their teachers | 85% | 85% | 100% | 90% | 77% | 100% | 100% | 91% |
| Give above average grades (As or Bs) to their principals | 72% | 88% | 97% | 79% | 69% | 75% | 100% | 88% |
| Believe prison education programs will help inmates obtain jobs upon release from prison | 77% | 68% | 94% | 75% | 75% | 75% | 75% | 69% |

Other survey findings and results of the inmate survey are included below:

- Seventy percent (70%) of the inmates in public unit facilities and 68% in private unit facilities rate the school counselors as *A* or *B*.
- Twenty-five percent (25%) of the inmates in public facilities and 75% in private facilities rate the school library as *A* or *B*.
- Twenty-six percent (26%) of inmates in the public units and 33% in private units stated that they received a GED while in prison; 31% of the public unit inmates and 51% of the private unit inmates indicated that they received a vocational certificate while in prison.
- In the public facilities, although 47% of inmates reported that they are now taking classes, 76% indicate that they want to take classes now. In the private facilities, however, 90% want to take classes, while 79% were enrolled in classes at the time of the survey.

- Twenty-six percent (26%) of public unit inmates and 18% of private unit inmates indicate that they did not have the choice of taking or not taking classes.

## 4.3 RIO Client Employer Survey

Between July 29 and August 3, we completed 102 telephone interviews with current or former employers/supervisors of Project RIO clients who had been released from TDCJ prisons during the past two years. Inmates scheduled to be released within one year are identified for participation in Project RIO. A complete assessment including aptitudes, skills, interests, education and work histories of enrollment in conducted. An employability development plan (EDP) is then developed based on assessment results and availability of jobs in occupation of choice in the area to which the inmate plans to return, using Texas Employment Commission demand occupation data or other appropriate data source. The EDP development process outlines the steps to be taken for the individual to be placed in gainful employment. Once the EDP is developed, individuals are referred to programs based on findings in the needs assessment.

The 102 employers who participated in this survey include a subset of the 232 names of employers who have hired RIO clients during the past two years. The 232 names of employees were provided to us by Project RIO staff. Of the 232 contacts received, 220 were usable. The other 12 were missing either a phone number or contact name.

To conduct the survey, we contacted, via telephone, the employees contact person given to us. The various responses given by employers to each of the 24 questions on the telephone survey are displayed as percentages in Appendix D.

The following is a summary of findings from the employer survey:

- The average age of RIO clients was 29 when they were hired, and their average starting wage was $5.04 per hour according to the estimates made by employers.

- Less than one-half (44%) of the employers claimed to know how long the employee had been in prison; the average estimate was three years.

- Less than one-half (45%) of the employers could recall whether or not their RIO client had received some pre-college schooling or job training through the prison school system (WSS); only 21% claimed that their RIO client had or might have had some WSS pre-college experience.

- Nearly all (91%) employers believe that the WSS should give equal emphasis to providing inmates with both K-12 basic skills and vocational training.

- About one-third (32%) of the RIO clients about whom employers provided information no longer worked for the company -- 24% of the employers did not know the reason for termination; 27% claimed the client quit; 15% claimed the client did not show up for work; 15% claimed the job was a temporary position, and 6% claimed the client was rearrested.

- Only 20% of the RIO clients about whom employers provided information were or have been employed by the company for more than six months.

- Only 3% of the employers had no other employees in similar positions to the ones for which RIO clients were hired; typically three to five other employees worked in similar positions.

- About one-third (32%) of the employers claimed that the position the RIO client was hired to fill required special skills that one might acquire in a high school vocational training program.

- Three types of positions (labor, machine operation service, and maintenance) accounted for about one-half of the jobs that RIO clients obtained:

  - miscellaneous labor, e.g., general laborer, warehouse worker (26%)

- machine operation/service (13%)
- residential/commercial maintenance (10%)
- kitchen help (9%)
- attendant/clerk (8%)
- manufacturing/production (5%)
- drive/delivery (5%)
- landscaping/yard work (4%)
- auto-body repair (3%)
- welding (3%)
- electronic work (3%)
- other (16%)
- no response (1%)

- When asked to compare RIO clients with other employees in terms of four factors, the percentage of employers who believe that RIO clients were better than most employees was significantly greater than the small percentage of employers who thought RIO clients were worse than most employees as shown below:

  - job performance (37% better than most vs. 10% worse than most)
  - attitude toward work (46% better than most vs. 8% worse than most)
  - reliability (37% better than most vs. 11% worse than most)
  - ability to get along with other employees (28% better than most vs. 2% worse than most)

- Only 7% of employers would not be likely to hire another RIO client based on their experience with their most recent RIO employee.

- When asked to name the three most important things they believe employers should consider before hiring a Project RIO client, current or former employers of RIO clients most often cited former inmates':

  - attitude (58%)
  - dependability/attendance (50%)
  - qualifications (22%)
  - honesty (21%)
  - ability to learn/performance (19%)

Our employer survey results reveal that employers who have hired Project RIO clients are generally very satisfied with the work of these former inmates and are willing to hire additional RIO clients. Due to insufficient information about the WSS experiences of these former inmates, we are unable to examine the relationship between WSS academic or vocational training (if any) and employers' satisfaction with inmate educational training in the Windham School System.

# 5.0 AUDIT OVERVIEW AND FINDINGS AND RECOMMENDATIONS RELATED TO PROGRAM EFFECTIVENESS

# 5.0 AUDIT OVERVIEW AND FINDINGS AND RECOMMENDATIONS RELATED TO PROGRAM EFFECTIVENESS

## 5.1 Overview of Six Systems Examined

Chapters 5 through 11 present the results of our management and performance review of the Windham School System (WSS). In this chapter we focus on program effectiveness. Chapters 6 through 11 contain the review for each of the following six systems of prison education operations:

- Organization and Management (chapter 6)
- Educational Delivery (chapter 7)
- Planning, Budgeting, and Financial Management (chapter 8)
- Personnel Management and Development (chapter 9)
- Technology Management (chapter 10)
- Administrative and Operational Services (chapter 11)

Within each system we describe relevant components, and for each component we present:

- the current situation as it applies to the WSS and/or prison education in the private units;
- the findings we made through analysis of new or existing data and information we collected through site visits and survey research;
- recommendations for improvements in prison education based upon our findings;
- cost savings associated with our recommendations;
- suggested strategies for implementing our recommendations.

Finally, in chapter 12 we present a summary of potential costs and savings that could result from our recommendations.

In developing recommendations for the improvement of the Windham School System within the chapters which follow, we have recognized that the highest priority must be given to ensuring that the State complies fully with the terms and conditions of the Ruiz decisions and agreements. Those court mandates result from 20 years of litigation and federal court intervention relating to maintenance of a prison system which complies with constitutional provisions concerning cruel and unusual punishment, due process and equal protection.

Our recommendations for classification, inmate targeting, space utilization and the design of new units are intended to reflect both the spirit and intent of Ruiz.

## 5.2 A Major State Crisis

Texas is facing a major prison crisis. The state's average daily prison population has grown from approximately 15,000 in 1971 to 35,000 in 1982 to 50,000 (the maximum state prison capacity) in 1992. Additionally, the state now has a backlog of over 17,000 prisoners being held in local jails waiting for state prison beds to become available.

The massive growth in the number of prisoners combined with a shortage of beds is causing three major and alarming trends.

1. The state has been forced to reduce the percentage of a sentence served by prisoners to make room for incoming prisoners. Many prisoners now serve only about 15% of their actual sentence in prison before being released.
2. The state is being forced to add new prisons at a massive rate -- 22 new prisons have been added within the past 12 years and 8 more units will be added in FY 93.
3. The cost of housing state prisoners is becoming prohibitive. The FY 92 state appropriation to TDCJ was approximately $1.2 billion. The Department is requesting $2.0 billion for FY 94 -- a 67% increase.

Unless the state finds a way to curtail the growth in crime and prison populations, state taxes will grow to the point that they threaten the economic competitiveness of our businesses and the state will become an unsafe place to live. These are not far distant problems. They are problems that will be faced in this decade.

Thus, it is imperative that the state find ways to stop or at least slow the growth in crime and prison populations. Every state program and every state expenditure related to criminal justice must be examined to determine its effectiveness in reducing crime and the costs of crime. Those programs which do not contribute to the reduction of crime or its costs must be replaced by programs and expenditures which will contribute to these reductions.

## 5.3 *Hard Questions About the Effectiveness of Corrections Education Must Be Asked*

It is within the context of the state's current explosion in crime and prison populations that the effectiveness of the state's corrections education program must be examined.

Someone has written, "It is possible to do extremely efficiently that which should not be done at all." While our management review has found that WSS manages a relatively efficient operation, and we have in subsequent chapters provided additional recommendations for improving Windham's efficiency, the question still must be asked, "In the context of the state's current prison population crisis, is what Windham is doing worth doing at all?" In today's stringent budget environment, when the state is forced to house surging prison populations, should the state spend money on educating prison inmates or should those dollars be used for other purposes? Or alternatively, is the Texas prison education program so effective that the state should expand the program so that more than the current 26% of the prison daily population can participate?

From a practical point of view, the above two questions translate into a series of more specific questions.

1. What are the relevant measurements of the effectiveness of prison education programs?
2. How have the Texas prison education programs performed on the relevant measurements of effectiveness?
3. What changes in the types of inmates served and programs offered would improve the performance of the system?
4. Assuming the most efficient and effective prison education program possible could be established, would the state's investment in prison education be cost effective?

Windham and the privately-managed prison units currently measure the effectiveness of their educational programs in terms of:

- student enrollments in programs;
- student class attendance;
- percent passing GED;
- average increase in education grade-equivalent levels;
- average scores on final examinations in vocational programs;
- numbers obtaining vocational certificates.

While the above are important measurements of educational effectiveness in the free world, their relevancy to the publicly-funded education of prison inmates must be questioned. Of what value to the state is a GED or increased reading level for a person who upon release from prison, immediately commits another crime and returns to prison (as over 50% of current inmate population in Texas has done)? Why should the people of Texas provide a free education to individuals who make no positive contributions to society and repeatedly cost society by committing crimes and returning to prison? Should Texas citizens pay for prisoner education simply so that the individual will be a more competent criminal? The answer to these important questions is, of course, that the state should only provide free education to inmates to the extent that education programs:

- reduce the rate at which inmates, upon release, commit additional crimes and return to prison;
- increase the chances that a parolee will successfully and productively re-enter society;
- reduce the cost of prison operations by improving institutional behavior (e.g., changes an inmate from a troublesome, high security individual to a less-troublesome, low security individual).

While GEDs, vocational certificates, and increased reading and math levels are important intermediate measurements of educational effectiveness, they do not directly address the above three measures of effectiveness. Nor do they provide any help in determining whether the state should continue to fund prison education programs and, if so, to what extent. Thus, the current measures of effectiveness used by Windham and the privately-managed prison units are of limited, if any, value to state, TDCJ and Windham decision-makers in deciding whether to continue educational programs, and, if so, what programs to offer and which students to serve.

Although not used by Windham, the use of recidivism (rate at which ex-offenders are returned to prison) and other corrections-oriented performance measurements are not new concepts for Texas corrections programs. The 1992-93 Texas Legislative Appropriation Act lists the following performance measures for the Texas Youth Commission:

- recidivism in re-arrest with one year;
- recidivism to re-incarceration within three years;
- severity of arrest reduction rate;
- frequency of arrest reduction rate.

Previous management audits of Windham School System by Andersen Consulting and the Texas Office of the State Auditor (August 1990) have reached conclusions similar to those above. Andersen's report recommended that Windham:

> *Develop a system to link Windham student data with post-release data from the Board of Pardons and Paroles Division for effective evaluation of Windham programs. Also investigate the possibility of using data from the Quarterly Employment Tracking System (QETS), proposed to be implemented by the State Occupational Information Coordinating Committee (SOICC) at the Texas Employment Commission.*
>
> *A comprehensive ex-offender tracking system is required to properly track and control evaluations of prison programs. With the development of this tracking system, Texas has the opportunity to confirm its position as the national leader in correctional education. In association with system design and development, standards for defining and tracking recidivism should be studied and formalized, creating a benchmark for linking recidivism with correctional education programs.*

The State Auditor's 1990 findings and recommendations regarding program effectiveness were:

> *Finding. Windham Schools and Project RIO programs have the objective to reduce recidivism, but the magnitude of the effect on recidivism cannot be determined without the systematic use of post-release performance measures.*
>
> *Finding. The Windham Schools have not used criminal justice performance measures to evaluate program effectiveness.*
>
> *Recommendation. Windham Schools management should develop criminal justice oriented performance measures that would be used consistently to evaluate program effectiveness. Such performance measures would appropriately include reductions in recidivism resulting from Windham School programs.*

In spite of the above two sets of findings and recommendations, we found that at the time of our review Windham has made no efforts to establish a process for evaluating the effectiveness of its programs utilizing recidivism rates and other appropriate criminal justice performance measures. Nor does Windham have any plans to establish such a process.

The State Auditor reported in a July 30, 1992 letter to the Legislature that the follow-up review to its 1990 performance audit of Windham revealed that:

> *Windham Schools management has delayed development of criminal justice oriented performance measures that would evaluate program effectiveness as it relates to reductions in recidivism. The primary reason for this delay is the perception that the historical data base has not matured to a useful level. Because of the complexity of necessary data analysis tasks, there are also doubts about the feasibility of developing scientifically valid measures.*

We found in our interviews with both Windham central office and unit staff that decisions regarding what programs to offer to which inmates are based primarily upon a free-world, laissez-faire approach. That is, any advance in any inmate's education level is worthwhile. Hence, staff seem to be of the opinion that choices about which inmates are admitted to programs and which are not, are best left to the inmates and the TDCJ inmate placement and counseling process. Targeting inmate groups for admission and non-admission to education programs based upon critical success factors (e.g., impact on recidivism) are not considered in either program or student admission decisions. In spite of the fact that large waiting lists exist in some units, no efforts are made to prioritize admissions based upon critical success factors. Windham and TDCJ staff seem content to allow an unknown and unspecified set of factors determine which groups of inmates are admitted and which are not.

Further, other than the beginning of the creation of a data base for measuring recidivism rates, we found no real interest on the part of Windham staff in measuring the effectiveness of their programs utilizing recidivism and other relevant criminal justice performance measures. Unless forced to do so, it is our conclusion that Windham will continue to utilize the same free-world educational success factors and to make no efforts to specifically design educational programs and target student groups which will maximize the reduction of the rate at which inmates return to prison, reduce the costs of incarceration, and increase the employment success of ex-offenders.

## 5.4 Impact of Education on Employability and the Rate at Which Inmates Return to Prison

Every time the TDCJ can, through its programs, reduce the number of offenders returning to prison upon release, the state saves (utilizing TDCJ figures) approximately:

- $28,000 to $35,000 in construction costs per bed;
- $13,000 in annual operating costs per inmate.

Thus, to the extent that education, substance abuse treatment, counseling, inmate placement, and other TDCJ programs can reduce the rate at which inmates return to prison, they save approximately $13,000 in annual operating costs per offender, plus prevent the need to build another bed costing up to $35,000.

As indicated above, however, in spite of the importance of reducing the inmates' return rate, we found, with the exception of Project RIO, no on-going programs in either TDCJ or Windham to measure the impact of current programs on the rate at which inmates return to prison. Instead, we found a set of operating, but untested, assumptions that current programs are maximizing the reduction of recidivism.

Other Studies. To test the assumption that education does reduce recidivism and increases the employability of ex-offenders, we examined studies that have been conducted in both Texas and in other states. We found that:

- The National Institute of Justice reported in 1989 that inmates with increased levels of educational achievement have lower recidivism rates. The 1989 Sourcebook of Criminal Justice reported the following results:

| OFFENDER GRADE LEVEL | PERCENT RE-ARRESTED IN 3 YRS |
|---|---|
| 8th or less | 61.9% |
| Some High School | 65.1% |
| High School Graduate | 57.4% |

- An Illinois study reported that 39% of the inmates who participated in academic and vocational education while in prison had jobs 12 months after release, compared to only 24% of those who lacked education (Illinois Criminal Justice Information Authority, 1991).

- Within Texas, two recent studies also demonstrate that there is a lower recidivism rate among inmates who receive education in prison.

    - TDCJ, in a special study, found that offenders with a high school education or GED had a lower recidivism rate than offenders who do not have high school education (Texas Department of Criminal Justice, 1991.)

    - Henderson County Junior College found that inmates released from the Coffield Unit who completed a postsecondary program of study while incarcerated were employed at a higher rate after release than inmates not in school.

- Studies in other states have shown similar relationships between education and recidivism. As summarized in exhibit 5-1, recent studies in seven different states have all shown that corrections education reduces recidivism.

### EXHIBIT 5-1

### RECENT NATIONAL RESEARCH ON IMPACT OF EDUCATION ON RECIDIVISM

| STUDY | RESULTS | |
|---|---|---|
| | RECIDIVISM RATE OF INMATES INVOLVED IN EDUCATION | RECIDIVISM RATE OF INMATES NOT INVOLVED IN EDUCATION |
| Illinois DOC | 23% | 32% |
| New Mexico DOC | 15% | 68% |
| West Virginia DOC | 13% | 26% |
| Georgia DOC | 12% | 19% |
| New Castle Institution, Delaware | 40% | 60% |
| Draper Prison, Alabama | 4% | 12% |
| New York DOCS | 26% | 45% |

SOURCE: Corrections Education Association, 1992.

Our Review. As indicated earlier, Windham officials argue that sufficient data do not currently exist to conduct evaluations of the impact of education on the rate at which inmates return to prison. To test the sufficiency of existing data, we attempted to utilize existing data to evaluate the impact of Windham education on inmates' return rate. We found that:

1) Windham officials are correct in that sufficient data do not currently exist to conduct all of the types of recidivism analyses which TDCJ and Windham need for decision-making purposes.
2) But, sufficient data do exist to conduct some types of important recidivism studies and to begin an evaluation of current educational programs based upon the impact on recidivism rates.

Our abbreviated inmate population analysis, which is presented in exhibit 5-2, reveals that inmates who have been admitted to TDCJ for a second, third or additional sentence have a lower education level than those being admitted for the first time. Thus, from this abbreviated analysis, it is apparent that increased educational levels are inversely related to the rate at which inmates return to prison.

### EXHIBIT 5-2

### COMPARISON OF THE EDUCATIONAL LEVEL OF A SAMPLE OF TDCJ INMATES BY RECIDIVISM STATUS [a]

| RECIDIVISM STATUS [b] | NUMBER | % OF TOTAL | % OF NUMBER TESTED | |
|---|---|---|---|---|
| | | | ABOVE 6TH GRADE | BELOW 6TH GRADE |
| Non-Recidivist | 1,071 | 21.4% | 76.5% | 33.5% |
| Second Time in Prison | 1,214 | 24.3% | 61.6% | 38.4% |
| Third or More Time in Prison | 2,715 | 54.3% | 60.3% | 39.7% |
| TOTAL | 5,000 | 100.0% | | |

[a] SOURCE: Computerized information obtained from TDCJ.

[b] Recidivism defined as an offender entering TDCJ who has previously had a probations sentence, a prior incarceration in TDCJ, a prison in another state, or in a reformatory.

**Are the Right Students Being Served?** TDCJ requires inmates who test below the 6th grade level and do not have a high school diploma to be in school. As exhibit 5-3 shows, 12 other states and the Federal Bureau of Prisons require inmates to participate in educational programs. In fact, seven other states and the Federal Bureau of Prisons currently mandate a literacy level higher than that required by Texas.

Given the fact that Windham does not have sufficient resources to serve all students, it would seem reasonable that the prison schools would target their limited resources toward those students who are most likely to use their education to become successful citizens and avoid crime upon release. In terms of targeted inmate groups, we found that:

- Windham clearly targets those inmates who test below the 6th grade level and are mandated by Texas law to be in school. However, based upon data obtained from Windham, only about 73% of the mandated inmates are actually enrolled in classes during their incarceration. The remaining 27% are either on waiting lists or are prevented from being in school for security or other reasons.
- Beyond serving mandated student inmates, however, Windham has no policies to target the schools' limited resources to those inmates most likely to not return to prison if given educational classes. In fact, Windham has made no attempts to even identify those inmates who, if given an education, would be most likely to not return to prison.

As shown in exhibits 5-4, 5-5, and 5-6 the profile of Windham students is, except for being a younger group, almost identical to the profile of TDCJ non-student inmates, adding further evidence that Windham makes little attempt to target certain groups of students, except for age.

## EXHIBIT 5-3

## STATE COMPARISONS OF MANDATORY LITERACY LEVELS AND INCENTIVES

| STATE | MANDATORY LITERACY LEVEL | PROGRAM INCENTIVES |
|---|---|---|
| Texas | 6.0 Grade Level | ■ Good time for successful participation<br>■ Graduation ceremonies |
| Kansas [a/] | 6.0 Grade Level | ■ 45¢ per pay day of attendance<br>■ Academic progress report to Parole Board |
| Ohio | 6.0 Grade Level | ■ Bound, embossed dictionary awarded when 4.0 achievement level gained<br>■ $18 per month job pay prorated on attendance<br>■ Award of accrued sick leave to substitute for absence without reduction in pay<br>■ Three days extra gain time<br>■ Elaborate graduation ceremonies |
| New Mexico | 7.0 Grade Level<br>18 Months Remaining on Sentence | ■ Gain time awarded on day-for-day basis predicated on attendance<br>■ Refusal to participate results in inmate becoming ineligible to receive pay for any job assignment during remainder of incarceration |
| Arkansas | 4.5 (Will be Raised ¼ Grade Level Annually Until Cap Off of 7.0 is Reached) | ■ 30 days extra gain time when GED is awarded |
| Florida | 9.0 Grade Level<br>2 Years Remaining on Sentence | ■ Eligible for six additional days of gain time<br>■ Literacy Certificates of Completion<br>■ GED Graduation ceremonies |
| Illinois | 6.0 Grade Level<br>2 Years Remaining on Sentence | ■ Eligible for higher paying jobs<br>■ Priority given to work assignment requests<br>■ Additional family visitations<br>■ Eligible for honor dorm and preferred housing |
| Michigan [b/] | 8.0 Grade Level | ■ Academic progress report to Parole Board<br>■ Inmate pay (lowest paying job assignment)<br>■ System-wide computer assisted instruction |
| Maryland | 7.0 Grade Level<br>18 Months Remaining on Sentence | ■ Inmate job assignment pay<br>■ Five extra days gain time per month<br>■ Academic progress report to Parole Commission |

[a/] Kansas received national attention as an outstanding inmate literacy program in June, 1987 (KSIR) and was awarded a U.S. Department of Education grant to develop and implement a Women's Activities and Learning Center at the Kansas Correctional Training Center to begin literacy services in 1989.

[b/] Michigan does not establish or limit literacy instruction to a specific length of time. Enrollment is "voluntary"; however, if an inmate enters the correctional system scoring below 8.0, "education" is the only assignment issued. If the inmate refuses to participate in the literacy program, no additional recreation time is granted and the inmate is confined to his cell during school hours. The documented refusal is forwarded to the Parole Board.

## EXHIBIT 5-3 (CONTINUED)

## COMPARISONS OF MANDATORY LITERACY LEVELS AND INCENTIVES
## (Continued)

| STATE | MANDATORY LITERACY LEVEL | PROGRAM INCENTIVES |
|---|---|---|
| Montana | 10.0 Grade Level or Without GED | ▪ Inmate job assignment pay<br>▪ 13 days per month gain-time<br>▪ Academic progress report to Parole Board |
| Virginia [c/] | 8.0 Grade Level | ▪ Good conduct allowance to advance parole and release eligibility<br>▪ Academic progress report to Parole Board<br>▪ Pay for attendance<br>▪ Certificates of Completion<br>▪ GED graduation ceremonies |
| Federal Bureau of Prisons | 8.0 Grade Level | ▪ Inmates must achieve 8.0 in order to be promoted to industry or paying jobs<br>▪ Inmates must achieve 8.0 and a GED to qualify for highest paying job assignments<br>▪ Cash awards, certificates and graduation ceremonies<br>▪ Academic progress is reported to unit team and Parole Board<br>▪ Significant use of computer assisted instruction at 26 sites |
| Minnesota | 8.0 Grade Level<br>9 Months Remaining on Sentence | ▪ Daily pay scale of $2.10 (first month) to $3.00 (after fifth month) based on attendance<br>▪ Inmates who refuse participated are barred from an incentive job assignment |

SOURCE: Robert J. Divito, Survey of Mandatory Education Policies in State Penal Institutions. *Journal of Correctional Education*, Vol. 41, September, 1991.

[c/] Virginia's program is not considered a mandatory job assignment; however, inmates scoring below 8.0 are strongly encouraged to participate in literacy services. Their program received the Council of State Government's Innovation Award in December, 1988.

## EXHIBIT 5-4

## POPULATION BY OFFENSE - MALES

(N=4,893)

| CRIME | NON-WINDHAM N=2,591 | | WINDHAM N=2,302 | |
|---|---|---|---|---|
| | NUMBER | PERCENT | NUMBER | PERCENT |
| *Violent Offense* | | | | |
| Homicide | 317 | 12.2% | 323 | 14.0% |
| Kidnap | 24 | 0.9% | 20 | 0.9% |
| Sexual Assault | 293 | 11.3% | 278 | 12.1% |
| Robbery | 459 | 17.7% | 454 | 19.7% |
| Assault | 144 | 5.6% | 155 | 6.7% |
| *Property Offense* | | | | |
| Dangerous Drugs | 461 | 17.8% | 369 | 16.0% |
| Burglary | 469 | 18.1% | 428 | 18.6% |
| Larceny | 98 | 3.8% | 57 | 2.5% |
| Arson | 10 | 0.4% | 10 | 0.4% |
| Stolen Vehicle | 102 | 3.9% | 63 | 2.7% |
| Forgery | 53 | 2.0% | 37 | 1.6% |
| Fraud | 18 | 0.7% | 7 | 0.3% |
| Sex Offenses | 62 | 2.4% | 55 | 2.4% |
| Commercial Sex | 1 | 0.0% | 1 | 0.0% |
| Obstructing Justice | 5 | 0.2% | 2 | 0.1% |
| Escape | 8 | 0.3% | 4 | 0.2% |
| Obstructing Police | 2 | 0.1% | 2 | 0.1% |
| Weapons | 18 | 0.7% | 17 | 0.8% |
| Traffic | 37 | 1.4% | 12 | 0.5% |
| Public Order | 4 | 0.2% | 2 | 0.1% |
| Other | 6 | 0.3% | 6 | 0.3% |
| TOTAL | 2,591 | 100.0% | 2,302 | 100.0% |

a/ SOURCE: Derived from TDCJ-ID computerized files for the inmate population residing in TDCJ on August 6, 1992 From this snapshot file, we drew a random (10%) sample of 5,000 male records (107 records lacked necessary data for analysis). The snapshot file includes both those offenders who participated in Windham and those who received no educational assignments. Our calculation of participation in Windham includes enrollment at any time during incarceration. Thus, the Windham numbers, in some instances, are larger than the TDCJ non-education component of the sample.

## EXHIBIT 5-5

## POPULATION BY OFFENSE - FEMALES

(N=2,401)

| CRIME | NON-WINDHAM N=1,330 | | WINDHAM N=1,071 | |
|---|---|---|---|---|
| | NUMBER | PERCENT | NUMBER | PERCENT |
| *Violent Offense* | | | | |
| Homicide | 153 | 11.5% | 172 | 16.0% |
| Kidnap | 5 | 0.4% | 11 | 1.0% |
| Sexual Assault | 16 | 1.2% | 18 | 1.7% |
| Robbery | 160 | 12.0% | 152 | 14.1% |
| Assault | 83 | 6.2% | 102 | 9.5% |
| *Property Offense* | | | | |
| Dangerous Drugs | 467 | 35.1% | 353 | 32.8% |
| Burglary | 96 | 7.2% | 91 | 8.4% |
| Larceny | 149 | 11.2% | 78 | 7.2% |
| Arson | 4 | 0.3% | 8 | 0.7% |
| Stolen Vehicle | 22 | 1.7% | 11 | 1.0% |
| Forgery | 109 | 8.2% | 49 | 4.5% |
| Fraud | 32 | 2.4% | 9 | 0.8% |
| Sex Offenses | 4 | 0.3% | 2 | 0.2% |
| Commercial Sex | 2 | 0.2% | 1 | 0.1% |
| Escape | 3 | 0.2% | 8 | 0.7% |
| Obstructing Justice | 3 | 0.2% | 2 | 0.2% |
| Weapons | 4 | 0.3% | 1 | 0.1% |
| Traffic | 8 | 0.6% | 1 | 0.1% |
| Public Order | 4 | 0.3% | 1 | 0.1% |
| Other | 6 | 0.5% | 1 | 0.7% |
| **TOTAL** | **1,330** | **100.0%** | **1,071** | **99.9%** |

a/ SOURCE: Derived from TDCJ–ID computerized files for the inmate population residing in TDCJ on August 6, 1992 From this snapshot file, we drew a set of 2,518 female records (117 records lacked adequate data). The snapshot file includes both those offenders who participated in Windham and those who received no educational assignments. Our calculation of participation in Windham includes enrollment at any time during incarceration. Thus, the Windham numbers, in some instances, are larger than the TDCJ non–education component of the sample.

EXHIBIT 5-6

OFFENDER AGE - MALE

| AGE | NON-WINDHAM (N = 1,960) | | WINDHAM (N = 2,302) | |
|---|---|---|---|---|
| | NUMBER | PERCENT | NUMBER | PERCENT |
| Under 20 | 78 | 4.0% | 130 | 5.6% |
| 20 - 24 | 234 | 11.9% | 412 | 17.9% |
| 25 - 29 | 360 | 18.4% | 567 | 24.6% |
| 30 - 34 | 429 | 21.9% | 478 | 20.8% |
| 35 - 39 | 384 | 19.6% | 329 | 14.3% |
| 40 + | 475 | 28.2% | 386 | 16.8% |
| TOTAL | 1,960 | 100.0% | 2,302 | 100.0% |

Because Windham does not have the resources to serve all inmates and because there are waiting lists for educational programs in many units, Windham must make choices everyday among which students are admitted and which are not. Beyond giving priority to mandated students, no other criteria are used to choose among potential students. The result is:

- inmates are enrolled in education classes when it is known that they will be released before they can complete the class, while other inmates with longer release times are prevented from enrolling;
- high class turnover which significantly reduces the number of class completers (Windham keeps no system-wide data on the number of non-completers but the proportion is apparently high);
- many older inmates with long-term release dates are enrolled while some younger inmates with shorter release times are not;
- inmates who (because of crime, age, length of sentence, health, and other factors) will potentially show little benefit from education are enrolled while others who could show significant benefits are not enrolled.

The potential for targeting selected inmates is demonstrated in exhibits 5-7 and 5-8 which show that:

- 22.6% of the male inmates and 35.5% of the females have one year or less to release and, therefore, most likely do not have time to complete a vocational course of study, but could complete short courses;
- approximately 38% of the males and females have two to three years left and, hence, have time to complete courses of study;
- 52% of the males and 59% of the females committed property (rather than violent) crimes and, hence, may respond more effectively to education.

Are Students Obtaining Adequate Skills? Recidivism studies have shown that gainful employment is a key factor in determining whether an offender commits another crime and is returned to prison upon release. Gainful employment depends (among other things) upon the ex-offender having:

- basic reading, math, and socialization skills;
- a set of marketable vocational skills;
- a set of effective life management skills.

Our survey of a sample of employers of Project RIO clients (Chapter 4) revealed that:

- Over 90% of the employers surveyed believe that WSS should give equal emphasis to providing inmates with both basic skills and vocational skills.
- Approximately one-third of the employers stated that the position the Project RIO client was hired to fill required special skills that one might acquire in a high school vocational education program.
- When asked to name the most important attributes they believe employers should consider before hiring a Project RIO client, current or former employers of RIO clients most often cited former inmates':
  - attitude (58%)
  - dependability/attendance (50%)

## EXHIBIT 5-7

## PERCENT OF FEMALES BY TIME TO PAROLE ELIGIBILITY BY OFFENSE

| | # YEARS TO PAROLE ELIGIBILITY | | | | | | |
|---|---|---|---|---|---|---|---|
| **CRIME** | **1 or Less** | **2** | **3** | **4** | **5** | **6+** | **TOTAL** |
| *Violent Offense* | | | | | | | |
| Homicide | 1.0% | 2.4% | 2.2% | 1.8% | 1.7% | 6.7% | 15.8% |
| Kidnapping | 0.2% | 0.2% | | 0.1% | | 0.1% | 0.6% |
| Sexual Assault | 0.2% | 0.3% | 0.2% | 0.2% | 0.3% | 0.5% | 1.7% |
| Robbery | 4.1% | 3.6% | 1.3% | 0.9% | 1.3% | 3.6% | 14.8% |
| Assault | 2.9% | 2.2% | 0.9% | 0.5% | 0.5% | 1.2% | 8.2% |
| Subtotal | 8.5% | 8.6% | 4.6% | 3.5% | 3.8% | 12.1% | 41.2% |
| *Property Offense* | | | | | | | |
| Dangerous Drugs | 15.1% | 10.4% | 3.4% | 1.2% | 1.0% | 1.1% | 32.3% |
| Burglary | 2.7% | 2.4% | 1.3% | 0.5% | 0.4% | 0.7% | 8.0% |
| Larceny | 4.8% | 1.8% | 0.5% | 0.5% | 0.1% | 0.2% | 7.9% |
| Arson | 0.2% | 0.1% | 0.1% | | 0.1% | | 0.5% |
| Stolen Vehicle | 0.5% | 0.3% | 0.2% | 0.1% | | | 1.2% |
| Forgery | 2.1% | 2.0% | 0.6% | 0.4% | 0.2% | 0.2% | 5.6% |
| Fraud | 0.4% | 0.3% | 0.3% | 0.2% | 0.1% | 0.2% | 1.5% |
| Sex Offense | 0.2% | | | | | | 0.2% |
| Commercial Sex | 0.1% | | | | | | 0.1% |
| Obstruct Police | | | | | | | |
| Escape | 0.1% | 0.1% | | | | | 0.2% |
| Obstruct Justice | 0.2% | 0.1% | | | | | 0.2% |
| Weapons | 0.1% | 0.2% | 0.1% | | | | 0.3% |
| Traffic | 0.2% | | | | | | 0.2% |
| Public Order | | 0.1% | | | | | 0.1% |
| Other | 0.2% | 0.2% | | | 0.1% | 0.1% | 0.5% |
| Subtotal | 27.0% | 18.0% | 6.5% | 3.0% | 1.9% | 2.4% | 58.8% |
| **TOTAL** | **35.5%** | **26.6%** | **11.2%** | **6.5%** | **5.8%** | **14.6%** | **100.0%** |

SOURCE: Information obtained from TDCJ computerized inmate files.
Does not include time off for good behavior.

EXHIBIT 5-8

PERCENT OF MALES BY TIME TO PAROLE ELIGIBILITY BY OFFENSE

| CRIME | # YEARS TO PAROLE ELIGIBILITY | | | | | | |
|---|---|---|---|---|---|---|---|
| | 1 or Less | 2 | 3 | 4 | 5 | 6+ | TOTAL |
| *Violent Offense* | | | | | | | |
| Homicide | 1.2% | 1.7% | 0.9% | 1.1% | 1.2% | 5.7% | 11.8% |
| Kidnapping | 0.1% | 0.1% | 0.1% | 0.1% | 0.1% | 0.4% | 0.8% |
| Sexual Assault | 1.4% | 2.1% | 1.2% | 0.9% | 1.0% | 4.4% | 11.1% |
| Robbery | 2.5% | 3.4% | 2.5% | 1.9% | 1.4% | 6.6% | 18.2% |
| Assault | 1.8% | 2.5% | 0.5% | 0.3% | 0.2% | 0.7% | 6.0% |
| Subtotal | 7.0% | 9.8% | 5.2% | 4.3% | 3.9% | 17.8% | 48.0% |
| *Property Offense* | | | | | | | |
| Dangerous Drugs | 6.1% | 5.4% | 2.4% | 1.5% | 1.0% | 1.4% | 17.8% |
| Burglary | 4.7% | 5.8% | 3.5% | 1.7% | 1.5% | 3.3% | 20.4% |
| Larceny | 1.0% | 1.0% | 0.3% | 0.2% | 0.2% | 0.4% | 3.1% |
| Arson | 0.1% | 0.1% | | | | | 0.3% |
| Stolen Vehicle | 1.1% | 0.9% | 0.5% | 0.2% | 0.2% | 0.4% | 3.4% |
| Forgery | 0.6% | 0.6% | 0.4% | 0.1% | 0.2% | 0.1% | 1.9% |
| Fraud | 0.3% | 0.1% | | | 0.1% | | 0.6% |
| Sex Offense | 1.0% | 0.7% | 0.3% | 0.1% | 0.2% | 0.2% | 2.5% |
| Commercial Sex | 0.1% | | | | | | 0.1% |
| Obstruct Police | | | | | | | |
| Escape | 0.1% | | 0.1% | | | 0.1% | 0.3% |
| Obstruct Justice | | 0.1% | | | | | 0.1% |
| Weapons | 0.2% | 0.2% | 0.1% | | 0.1% | 0.1% | 0.7% |
| Traffic | 0.2% | 0.1% | | | | | 0.3% |
| Public Order | 0.1% | 0.1% | | | | | 0.2% |
| Other | 0.1% | 0.1% | | | | 0.1% | 0.3% |
| Subtotal | 15.6% | 15.2% | 7.8% | 3.9% | 3.4% | 6.2% | 52.0% |
| TOTAL | 22.6% | 25.0% | 12.9% | 8.2% | 7.3% | 24.0% | 100.0% |

SOURCE: Information obtained from TDCJ computerized inmate files; based on a sample of 5,000 inmates. Does not include time off for good behavior.

- qualifications (22%)
- honesty (21%)
- ability to learn/performance (19%)

Thus, it is apparent that basic education (i.e., the ability to read, write, and do basic math) while critical to an offender's free-world success, is by itself not sufficient. The ex-offender must also have effective life management skills and a marketable vocational skill. With this knowledge in mind, we examined Windham's educational programs. We found:

- Windham enrolled 32,740 different students during the 1990-91 school year (headcount) in basic education courses but only 13,280 in vocational education courses.
- Windham's school facilities are designed to have a weekly student capacity of 14,653 in basic education classrooms, but a capacity of only 4,353 students in vocational education.
- In the 1991-92 school year, Windham provided 5,621,377 student contact hours in basic education but only 2,952,280 hours in vocational education (Exhibit 5-9).

EXHIBIT 5-9

COMPARISON OF WINDHAM STUDENT CONTACT HOURS BY TYPE OF EDUCATION PROGRAM

| TYPE OF PROGRAM | FUNDED FY 92 CONTACT HOURS | PERCENT OF TOTAL |
|---|---|---|
| Basic Education | 5,621,377 | 58.7% |
| Special Education | 635,505 | 6.6 |
| Bilingual | 369,378 | 3.9 |
| Vocational | 2,952,280 | 30.8 |
| TOTAL | 9,578,540 | 100.0% |

- Windham currently has 332 basic education teachers, but only 169 vocational education teachers (Exhibit 5-10).

Thus, it is clear that Windham is:

- by design, placing a much heavier emphasis on basic education than on vocational education;
- not providing most (over two-thirds) inmate students with any vocational training (26,275 out of Windham's 39,555 inmate students in the 1990-91 school year did not receive any vocational education).

The result is that many students are receiving only the basic education part of the total training they need to find successful employment in the free world upon release. With the absence of any vocational education, most releasees have no marketable skills and can find only minimum wage jobs, if they can find any jobs.

### 5.4.1 Recommendations

Based upon our above findings, we recommend that:

- The Texas Legislature mandate, as a condition of continued funding, that Windham develop and implement a system for annually evaluating the effectiveness of its programs utilizing the following and other appropriate performance measures:

  - impact on rate at which former inmates return to prison
  - impact on costs of incarceration
  - employment success of ex-offenders

  And that Windham, beginning no later than January 1995, annually submit a performance evaluation report to the Legislature based upon the above and other appropriate performance measures.

- Windham establish within an Office of Planning, Budgeting and Evaluation a dedicated staff of professionals to concentrate on developing the performance evaluation system, conducting the evaluations, and producing the annual evaluation report. (This recommendation will be further developed in Chapter 8).

EXHIBIT 5-10

## NUMBER OF TEACHERS BY PROGRAM AREA
## WINDHAM SCHOOL SYSTEM, MARCH 1, 1992

| UNIT | BASIC EDUCATION | VOCATIONAL EDUCATION |
|---|---|---|
| Beto I | 18 | 8 |
| Beto I-Special | 12 | 7 |
| Beto II | 6 | 5 |
| Briscoe | 4 | 3 |
| Central | 7 | 5 |
| Clemens | 8 | 7 |
| Clements | 10 | 7 |
| Coffield | 13 | 6 |
| Daniel | 13 | 6 |
| Darrington | 11 | 3 |
| Eastham | 8 | 5 |
| Ellis I | 8 | 3 |
| Ellis II | 10 | 8 |
| Ferguson | 14 | 12 |
| Gatesville | 14 | 1 |
| Goree | 2 | |
| Hightower | 14 | 6 |
| Hilltop | 10 | 7 |
| Hobby | 13 | 6 |
| Hughes | 8 | 6 |
| Huntsville | 8 | 1 |
| Jester I and II | 9 | |
| Jester III | 11 | 7 |
| Lewis | 14 | 6 |
| Michael | 7 | |
| Mountain View | 4 | 5 |
| Pack I | 11 | 4 |
| Pack II | 9 | 9 |
| Ramsey I | 9 | 4 |
| Ramsey II | 4 | 1 |
| Ramsey III | 12 | 6 |
| Roach | 11 | 5 |
| Retrieve | 6 | 1 |
| Skyview | | 3 |
| Wynne | 10 | 6 |
| TOTAL | 332 | 169 |

- The TDCJ Board and Windham leadership adopt a new set of operating principles reflecting the following:
  - There are, and will be, limited available resources within the corrections system for the provision of educational programs so that all inmates cannot be served.
  - Some inmates will respond more effectively to education than other inmates.
  - The three specific goals of Windham's education program are:
    - to reduce recidivism
    - to reduce the cost of inmate incarceration
    - to increase the employment success of ex-offenders
  - Windham should specifically design programs which are targeted towards specific inmate groups to maximize the accomplishments of the above three goals.
  - Limits should be placed on the amount of free education that a single inmate can receive while in prison so that the state's prison education resources can be used most effectively to reduce the number of inmates returning to prison.

    Because of rate of return of inmates to prison and the employability of released inmates are delayed measures of effectiveness, we recommend that, through careful research, WSS develop a set of directly related intermediate and supporting measures of effectiveness which can be used to provide more timely feedback on how well programs are performing. Examples of intermediate and supporting measures of effectiveness include:

    - Intermediate Measures of Effectiveness
      - Life skills
        - substance abuse free
        - dependability
        - personal relations
        - anger control
        - motivation
        - etc.
      - Employability
        - vocational skills
        - basic education skills

- Supporting Measures of Effectiveness
  - percent of vocational completers
  - percent of GED
  - literacy grade level
  - percent of inmates with balanced package of basic education, vocational education and life skills

- Windham, in the near term (until more complete studies can be completed) should:
  - establish a two track education system consisting of:
    - **TRACK 1:** a set of basic, life skill and vocational education programs specifically designed for inmates who will be in prison for less than one year. The program should be designed so that it can be completed in 9 months or less.
    - **TRACK 2:** a set of basic and vocational education programs specifically designed for inmates who will be in prison for more than one year
  - give highest priority to young (ages 18 to 30) inmates who were sentenced for property crimes and have two to three years remaining before release;
  - provide educational services to other inmates on a space available basis.

- Windham utilize the savings from expanding the average size of academic classes to increase the number of vocational education classes (by hiring approximately 80 more vocational teachers and expanding the use of vocational classrooms and labs to 45 hours per week).

- TDCJ and Windham officials begin immediately to establish the information database necessary to fully evaluate the impact of Windham's programs and policies on the accomplishment of the school's goals, as recommended above.

### *5.4.2 Financial Impact*

- All of our recommendations in this section are directed toward the utilization of corrections education to reduce the cost of incarceration, reduce recidivism, and increase the employability of ex-offenders. Our best estimate (from Windham and TDCJ data) is approximately 50% of Windham's daily student population are recidivists. Through a concentrated effort to design programs and target high potential students, we believe (based on studies of offender employability and recidivism) that Windham can reduce the rate of recidivism by at least 10%. A 10% reduction in the recidivism of Windham students will create an annual operating cost avoidance of $8.7 million (13,500 student inmates times 50% recidivism times 10% reduction in recidivism times $13,000 annual cost per inmate) plus prevent the need to build 675 prison beds, thereby avoiding the necessity to spend another $20.3 million in one-time construction costs (13,500 times 50% times 10% times $30,000 per bed).

- The estimated annual cost of adding 80 vocational education teachers is $2,824,008 (80 positions times $32,091 per position, plus 10% for fringe benefits).

## 5.5 *Integration of Education and Other Treatment Programs*

TDCJ and Windham officials agreed during our on-site interviews that the rate of recidivism is also influenced by other programs such as substance abuse treatment, counseling, health services, inmate placement, parole, etc. Further, officials agreed that it is often the combination of these TDCJ programs (not one program alone) that influences whether an ex-offender becomes a productive citizen or commits another crime and returns to prison. In spite of these agreements, however, we found that education is not well integrated with the other programs.

- Educational representatives do not participate in the initial inmate classification and placement and, generally, the inmate's educational needs are not considered in placement. Thus, an inmate's educational opportunities tend to be limited by the programs available at the unit where he or she is placed.
- Educational representatives generally do not participate in decisions to transfer inmates between units. Hence, inmates are sometimes moved during the middle of a vocational education program to a unit that does not have a similar program.
- Educational staff become involved after an inmate has been placed in a unit and after a decision has been made to transfer an inmate.
- TDCJ's comprehensive treatment plan for each inmate does not include education (except for mandated inmates). Education is viewed more as an opportunity than as part of a treatment plan designed to reduce recidivism.

- Very little coordination currently occurs in the planning and design of treatment programs between education and the other treatment programs. Again, education is generally viewed as an independent program that provides structured learning opportunities not as a program that should be integrated with other TDCJ programs. As a result, Windham is not considered to be a vehicle for helping to deliver other programs such as substance abuse treatment. Similarly, educational counselors are not involved in designing inmate treatment plans.

### 5.5.1 *Recommendations*

- As presented later in Chapter 6 on pp. 6-23 and 6-24, we recommend that an independent analysis be conducted to develop and implement a plan for the consolidation and alignment of the Windham School System within the Texas Department of Criminal Justice, especially as it relates to the following administrative and programmatic functions:
    - Personnel
    - Counseling
    - Classification
    - Substance Abuse Treatment
    - Industries
    - Financial Management
    - Management Information Systems
    - Purchasing
    - Media Services
    - Warehousing

- The plan should consider:
    - co-location of key administrators
    - inclusion of Windham officials in TDCJ treatment program planning meetings
    - inclusion of Windham in the development of TDCJ's annual and other program operations, and facility planning activities
    - the use of Windham to assist in the delivery of other services (e.g., substance abuse training), when appropriate
    - participation of educational representatives in inmate classification, placement, and transfer decisions at all units
    - participation of educational counselors in the development and monitoring of a comprehensive treatment plan for each inmate

- The TDCJ-ID Director should direct the Classification Director to develop a plan for refining statewide policy in a manner that promotes the identification and placement of inmates for educational programs based on criteria designed to promote recidivism reduction. The new system should incorporate an objectively based, risk and needs assessment instrument.

- The TDCJ-ID Director should assign the Classification Director, the WSS Superintendent, and the Health Services Director to develop a plan for the integration of counseling staff at all levels. The goal of the integrated approach should be to coordinate the selection and assignments of inmates for the most appropriate treatment strategies. The plan should differentiate strategies to increase motivation for educational programs, assignment to vocational or academic courses in a manner that recognizes length of stay factors, prioritization of substance abuse and educational needs, and integration of job placement and pre-release activities in a timely manner.

## 5.6 *Relationships Between Vocational Education and Prison Industry Programs*

We found that WSS currently operates over 150 different vocational education courses in the publicly-managed prisons. Specifically, in 1990-91, 43 different full-length and 19 short vocational programs were offered. According to TDCJ-ID, the Industries Division operates 34 plants at 25 units, employing 5,500 inmates.

If WSS officials move to broaden performance measures in a manner that recognizes the importance of employability, it will be essential to assess the degree to which WSS links vocational education offerings with industrial opportunities, apprenticeship programs, and job training.

We found that while WSS maintains extensive vocational education curricula, minimal linkages exist between specific vocational programs and industry operations. The unit audits showed very limited evidence of coordination at the unit level between WSS vocational education and industries.

Exhibit 5-11 displays the system's vocational education programs and industry plants by unit. While there is some match between vocational education and industry programs, there is no comprehensive alignment of the programs which results in the matching of vocational training and industry work requirements of the plants. We found that in 15 of the units operating industries, a direct opportunity exists to establish vocational shops as feeder units for industrial recruitment.

We also found limited evidence of attempts to develop apprenticeship programs and cooperative training classes which link students with approved prison jobs. While the cooperative training classes are coordinated within the vocational education program listings, we found a lack of systematic planning to link apprenticeships with appropriate industries and vocational education courses. WSS reported that 31 apprenticeship programs are available but did not provide data on the unit location or procedures for connecting apprenticeships with industry or vocational education.

### *5.6.1 Recommendations*

We recommend that:

- TDCJ establish a joint prison industry/Windham Task Force to develop a joint plan for:
  - the establishment of industry and vocational education programs at all new units;
  - reviewing and revising the types of industry and vocational education programs in existing units;
  - utilizing industry inmate assignments to reinforce inmate vocational training.

## EXHIBIT 5-11
## COMPARISON OF INDUSTRY AND VOCATIONAL EDUCATION PROVIDED AT EACH UNIT

| [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] |
|---|---|---|---|---|---|---|---|---|
| Beto I | Bricklaying, Bus. Computers, Electrical, Mill/Cabinet, Piping/Plumbing, Welding | Data/Graphics, Concrete | Ellis I | Dental Lab<br>Electronics | Auto Repair<br>Textile<br>Metal/Wood | Michael | A/C Refrig., Auto, Bricklaying, Computer, Electrical, Piping/Plumbing | Metal/Wood |
| Beto I Spec | Bricklaying, Building Maintenance, Electrical, Horticulture, Piping/Plumbing | Data/Graphics | Ellis II | Bricklaying, Diesel, Drafting, Horticulture, Painting, Merchandising, Electronics | Textile | Mountain View | Bus. Services, Drafting, Floriculture, Horticulture, | Data/Graphics |
| Beto II | Auto Repair, Painting, Welding | Auto Repair | Ferguson | Auto, Carpentry, Culinary, Electronics, Machine, Meat Cutting Computer, Mill/Cabinet, Welding | Soap/Janitorial | Pack I | Graphic Arts, Construction, Truck Driving | |
| Briscoe | Wiring, Construction, Remodeling | | Gatesville | Construction, Home Econ., Electrical, Welding | Textile | Pack II | Auto, Electrical, Horticulture, Welding | Metal/Wood |
| Central | Drafting, Horticulture, Truck Driving, Welding | Soap/Janitorial | Hightower | Construction, Maintenance, Appliance Repair | Textile | Ramsey I | Auto, Mill/Cabinet | Metal/Wood |
| Clemens | Auto, Barbering, Piping | | Hilltop | Construction, Electrical, Graphic Arts | Textile | Ramsey II | Drafting | |
| Clements | Auto, Bus. Computers, Electrical, Horticulture, Maintenance, Technology | Textile | Hobby | Auto, Appliance Repair, Piping/Plumbing | Data/Graphics | Ramsey III | Construction, Sheet Metal, Welding | |
| Coffield | Auto, Bus. Computers, Construction | Metal/Wood, Data/Graphics | Hughes | A/C Refrig., Auto, Bricklaying, Maintenance, Appliance Repair, Piping/Plumbing | Textile | Retrieve | Horticulture, Computer | |
| Daniel | Auto, Construction, Maintenance | Metal/Wood | Huntsville | Computer, Drafting, Merchandising | Textile | Roach | Construction, Landscape, Remodeling | |
| Darrington | A/C Repair, Auto, Electronics | Auto Repair | Jester | Auto, Computer, Office Support, Engine Repair, Welding | Textile | Skyview | Maintenance, Horticulture, Construction | |
| Eastham | Auto, Electrical, Equipment Repair, Mill/Cabinet, Painting | Textile | Lewis | A/C Refrig., Construction, Mill/Cabinet | Metal/Wood | Wynne | Diesel Mechanics, Drafting, Engine Repair, Electronics, Welding | Data/Graphics, Cardboard |

## 5.7 Relationships Between Windham and the Schools in the Privately-Managed Units

### 5.7.1 Current Situation

As discussed in subsequent chapters, the relationships between Windham and the privately-managed corrections education programs are vague at best.

- The contract with the privates (exhibit 5-12) does not specify:
  - the programs to be offered
  - the number of students to be served
  - educational goals to be achieved
  - educational staffing levels
  - educational budgets

### 5.7.2 Findings

Opportunity for Improvement

- WSS conducts an annual monitoring visit to each private unit. However, as will be addressed in Chapter 6, WSS uses a state monitoring instrument which is based on the state accreditation instrument. The revised monitoring instrument has yet to be approved by TEA.
- Officials within the private units complain that WSS's monitoring requires unnecessary bureaucratic costs.
- TDCJ has no effective way of enforcing the quality of the privately-managed programs or of ensuring that the educational programs meet student needs.

### 5.7.3 Recommendations

- The educational section of the TDCJ contracts with the private management corporations should be expanded to include:
  - the names of academic and vocational education programs to be provided
  - student enrollment and annual student contact hours to be achieved
  - student performance goals to be achieved
  - accreditation standards to be achieved

## EXHIBIT 5-12

## THE EDUCATIONAL SECTION OF THE TDCJ CONTRACT WITH WACKENHUT, 1992

4.3.8 Education. Operator shall provide the full range of educational services to meet the needs of all inmates comparable to those educational services provided by Windham School System for TDCJ-ID as set forth in the approved Operational Plan. Educational services shall include, but not be limited to:

(a) Academic programming to meet the needs of all inmates from illiterate to post-secondary level comparable to those programs provided to inmates within TDCJ-ID;

(b) Secondary and postsecondary level vocational training in areas identified by TEA or TEC as "demand occupational areas";

(c) Life and social skills training comparable to that offered in TDCJ-ID to assist all inmates with successful transition to a free society;

(d) Written curriculums that are competency-based and adult appropriate for all educational programs offered;

(e) Education programs consistent with those offered by Windham School System to meet the needs of the short-term offender as well as the inmate serving a longer sentence;

(f) Education programs to meet the needs of special populations, i.e., ESL, education for the handicapped and for the slow learner;

(g) Programming to all eligible inmates in need of educational services at no cost to the inmates regardless of inmate's willingness or ability to apply for or qualify for financial assistance;

(h) Appropriate procedures for the identification (inclusive of testing) and placement of inmates into the educational programs consistent with the processes utilized by Windham School System;

(i) Adequate resources and a physical environment that supports the educational programs offered including facility library services that support the educational programs;

(j) Student counseling services to augment and support the instructional program;

(k) Meet or exceed the educational standards for accreditation by the Texas Education Agency that are applicable to the Windham School System as identified in the monitoring document used by Windham School System;

(l) Employ professional staff who are certified by the Texas Education Agency and properly prepared for their academic or vocational assignment;

## EXHIBIT 5-12 (CONTINUED)

## THE EDUCATIONAL SECTION OF THE TDCJ CONTRACT WITH WACKENHUT, 1992

(m) Adequate pre-service and in-service training for professional staff that will continually improve the quality of instruction.

(n) Evaluate professional staff systematically and use evaluation data to provide for the continual improvement of program effectiveness;

(o) Any vacant position shall be filled as soon as possible and operator agrees to exercise due diligence to attempt to fill any vacant position within thirty (30) days after the upon which the position becomes vacant. In the event that a position remains vacant thirty (30) days after becoming vacant, operator shall notify the authorized representative of TDCJ-ID of that fact and provide evidence that due diligence has been exercised. As long as operator has exercised and continues to exercise due diligence to fill the position, the fact that the position remains vacant shall not constitute an event of default. Operator shall utilize qualified substitute teachers as needed to provide continual educational services to the inmate population.

(p) Maintain student/teacher ratio in general accordance with education program guidelines, used by Windham School System, for inmates within the TDCJ-ID;

(q) Operator and TDCJ-ID shall develop a system for transferring originals or copies of individual transcripts and/or other inmate educational records from TDCJ-ID or Windham School System to Operator of each inmate assigned to a PRC and from operator to TDCJ-ID once the inmate leaves the PRC;

(r) Maintain educational data appropriate for program planning, monitoring, evaluation and decision-making, i.e., line-item specific budgets and records of expenditures, attendance trend data, program goals and objectives, program performance to include goals and objectives, etc.;

(s) A written set of operational policies and procedures for educational programming which shall be completed within one hundred and twenty (120) days of execution of this contract.

- The annual monitoring of the privately-managed schools should be limited to contract compliance and conducted by TDCJ officials.
- The privately-managed schools should be accredited by TEA using the same standards as used by TEA to accredit Windham's program.
- Representatives from Windham and the four privately-managed schools should meet quarterly to identify and resolve common problems.

### 5.7.4 *Financial Impact*

- Each of the above recommendations can be accomplished within current dollars and will significantly improve the quality of current programs and ensure the coordination of the educational programs provided by Windham and the private units.

## 5.8 *Project RIO*

### 5.8.1 *Current Situation*

Our audit included a review of the Project RIO (Reintegration for Offender) program. Founded in 1985 as a demonstration project in Houston and Dallas by the Texas Employment Commission and the Board of Pardons and Parole, the program has two objectives:

- to divert offenders from TDCJ;
- to reintegrate offenders within the community through gainful employment.

The pilot initiated in Houston and Dallas has since been expanded to 80 Texas cities and local communities. TDCJ-ID provides initial exposure to Project RIO through services which are located in Windham and offered as an ancillary component of the educational unit. Services include:

- orientation
- identification of eligible inmates

- preparation of work documents
- assessment testing
- employability development plans
- counseling
- information and referral to educational services.

At the time of parole release, the parole officer refers the inmate to a community-based Project RIO office which is staffed by the Texas Employment Commission. That office provides labor market information, job workshops, employer assistance, and information on support services.

### *5.8.2 Findings*

- We found that the Texas Employment Commission reports that the project serves approximately 19,000 releasees each year. Project staff report that 68% of their clients obtain employment.
- Our audit included a limited telephone survey of approximately 100 employers of RIO clients. We found that 68% of the employers presently had a RIO client on their payroll. Most positions held by clients were unskilled entry level jobs.
- Approximately one-third of the employers characterized the positions as skilled, and that a vocational training program could help the employee prior to hiring.
- The average length of employment for the RIO clients involved in the survey was five months.
- Employers indicated that in 94% of the cases, RIO clients had skills equal to or better than most other employees. They also had similar comparative perceptions of RIO clients' overall job performance (89%) and the RIO client's attitude toward work (91%).
- Ninety-two percent of the employers indicated that, based on the performance of the parolee, they would be likely to hire another RIO client.
- We also asked employers about their expectations and views concerning the readiness and training of incoming RIO clients -- 58% indicated attitude was the most important factor, while 50% cited dependability/attendance as the most important concern.

- Ninety-one percent of the employers stated that the emphasis of the prison school system should be on both basic skills and vocational training.

- Forty-four percent of the employees were earning $4.50 per hour or less, and 42% earned $6.00 per hour or less.

- While our audit describes the failure of Windham to incorporate recidivism as its major performance measure for all educational activities, we found that Project RIO, funded through TDCJ-ID appropriations but located in WSS, explicitly targets recidivism reduction as its primary objective.

- Project staff estimate that RIO is saving taxpayers over $12 million annually through reduced recidivism rates. Two studies are cited to document results.

    - An internal 1992 report by the Board of Pardons and Parole Division found that 68% of those parolees who found employment through RIO were still employed six months after release.

    - A study by Texas A&M University found that Project RIO participants were twice as likely to find employment as parolees not involved in the project and that employment is a central factor in reducing re-arrest and recidivism.

- Our audits of the 24 units included interviews with RIO staff concerning their involvement with educational programs. Based on reports from staff, we found that estimated levels of inmate participation in RIO ranged from 15% to 99% with a mean of 42%.

- We found that the criteria for referral of inmates to Project RIO include a parole eligibility date within 18 months and Texas residency. Referrals are made by WSS staff.

### *5.8.3 Recommendations*

- Project RIO's incorporation of recidivism as a goal stands in striking contrast to Windham's resistance to incorporate recidivism as a performance measure. We recommend that RIO's mission statement be fully integrated within the policy and goals of Windham.

- We recommend that the planning initiative to establish recidivism as a measure for Windham be based on the recognition that employment is a critical factor in recidivism reduction. Based on acceptance of that assumption, we further propose that the planning of RIO services be more closely aligned with educational planning to ensure that projects are targeted and established at the most appropriate units. Such units should include prisons where inmates are closest to release, and units which are providing skills training which most closely matches RIO's employment market.

- Recognizing that limited resources are available for RIO, we recommend that the referral criteria be narrowed from 18 months to six months and that the program attempt to provide more intensive counseling and services to offenders for a shorter period.
- We further recommend that Project RIO establish a 1-800-HELP number for RIO clients to call for advise and assistance in obtaining and holding a job or in managing life problems.

## 5.9 Corrections Education in Other States

### 5.9.1 Current Situation

The questions and issues raised in the previous sections of this chapter are not unique to Texas, they apply to all states. Thus, some evidence concerning the value of education in a corrections environment can be obtained from a review of the corrections education programs in other states.

### 5.9.2 Findings

First, we found that all states have corrections education programs. Thus, the collective wisdom of other states validates the perceived value of education programs as a means of helping inmates to become productive citizens and to not return to prison. Beyond the fact that all states have corrections education programs, however, very little comparable national data regarding corrections education in other states exist. Thus, we had to rely primarily on special comparison studies, limited amounts of data collected by the Corrections Education Association, and our own telephone survey of corrections officials in selected states. Because of the limited amount of readily available data about other states, we selected a sample of 12 states for a detailed review. As shown in exhibit 5-13, our sample review of other states revealed that:

- mandatory education for inmates who are not functionally literate has been adopted by many states;

## EXHIBIT 5-13

## COMPARISON SUMMARY TABLE FOR CORRECTIONS EDUCATION IN 12 STATES

| ISSUE | STATE | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | TX | AL | MD | NY | OH | PA | VA | IL | WA | MI | CA | FL |
| Offers Both Basic Education and Vocational Courses | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Offers a Large Number of Vocational Education Courses [a/] | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Provide Special Education Courses | ✓ | | ✓ | ✓ | ✓ | ✓ | ✓ | | | ✓ | ✓ | ✓ |
| Percent of Inmate Population in Education Program | 29% | 30% | 25% | 25% | 22% | 20% | 20% | 31% | 45% | N/A | 20% | 15% |
| Provide Post-Release Follow-Up Services | ✓ | ✓ | ✓ | ✓ | | | | | | | | |
| Utilizes Federal Funding [b/] | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Has Mandatory Education Policy for Selected Inmates [c/] | ✓ | | ✓ | | ✓ | | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |

[a/] Offers minimum of 30 programs.
[b/] Includes ABE, Pell, Perkins, Chapter I and JTPA funds.
[c/] Requires certain inmates to attend classes a minimum of 90 days per year.

- the importance of corrections education in other states is demonstrated by the relatively high percentages (22% to 45%) of the daily inmates population who are enrolled in education programs for selected states;
- most states, including Texas, offer vocational education courses designed to increase the inmate's employability upon release;
- most states, including Texas, offer basic academic courses designed to improve the inmate's basic reading, math, and social skills;
- a limited number of states, including Texas (Project RIO), provide post-release follow-up services to inmates;
- most states, including Texas, provide special educational programs for slow and handicapped learners.

From the above information about corrections education programs in other states, we concluded that:

- nationally, corrections education is deemed to be an important part of each state's correctional program;
- The Texas correctional education program is comparable to programs in our selected sample of other states in terms of:
    - providing basic academic courses;
    - providing vocational education programs;
    - providing special education courses;
    - the percentage of inmate population served;
    - mandating educational programs for illiterate inmates.
- The Texas corrections education program differs from some (but not all) other states in that Texas provides post-release follow-up services (eight of the 12 states in our sample had none).

### *5.9.3 Recommendations*

- The TDCJ Board should review the range of program incentives used in other states to determine the feasibility of expanding rewards for successful performance. Target areas for consideration should include progress reports to the parole board, family visits, and priority work assignments.

- The superintendent and WSS staff should review the vocational education and industry programs in Ohio and the Bureau of Prisons to determine strategies for enhancing the vocational education/industry linkage to promote employability.

- The TDCJ-ID Director and the superintendent should review the organizational structure of Maryland and Virginia to assess their approach to integrating education, industries, classification, and related treatment units through the use of interdepartmental committees.

- The superintendent and TDCJ-ID Assistant Director for Classification should review classification policies in Virginia, Maryland, and Washington to assess the feasibility of incorporating specific educational plans within the initial classification.

# 6.0 RECOMMENDATIONS RELATED TO ORGANIZATION AND MANAGEMENT

# 6.0 RECOMMENDATIONS RELATED TO ORGANIZATION AND MANAGEMENT

## 6.1 Introduction

This chapter focuses on the following three major organization and management components of the Windham School System (WSS): Governance and Administration, Rules and Policies, and School Management. The central, regional, and school-level administration of the WSS are analyzed in the pages which follow. The relationship of the WSS administration to the TDCJ-ID, the Board of Criminal Justice (which serves as the School Board of the Windham School System), and Texas Education Agency (TEA) is reviewed. The authority granted to the Board to adopt policy and the extent to which the Board has exerted that authority are examined. Whenever possible, comparisons are made of organization and management in the WSS to the four private units.

## 6.2 Governance and Administration

### 6.2.1 Current Situation

The Windham School System (WSS), established by legislative authority in 1969, is responsible for the delivery of educational programs to the inmate population of the Texas Department of Criminal Justice - Institutional Division (TDCJ-ID). Windham is recognized as the first comprehensive educational system to be established within a statewide prison using the public school district model. The Texas Board of Criminal Justice serves as the Windham Board of Trustees.

The WSS is supported by the Foundation School Program (FSP) as described in section 2.2, and is subject to the certification and accreditation requirements and regulations of the Texas Education Agency and the State Board of Education.

Since being created 23 years ago, the Windham School System has grown significantly. Today, WSS administers educational programs at 36 units and monitors programs at four private units. As shown on the next page, two new prisons were added in FY 92; eight more units are scheduled to open in FY 93. The four private prisons (and the schools in those prisons) are operated under contractual agreement with TDCJ-ID by Corrections Corporation of America and Wackenhut Corrections Corporation. WSS involvement in and oversight of the educational programs in the four private facilities is limited to annual monitoring visits.

### Texas Department of Criminal Justice (TDCJ) Organizational Structure

The Texas Department of Criminal Justice is comprised of the following three Divisions (see exhibit 6-1):

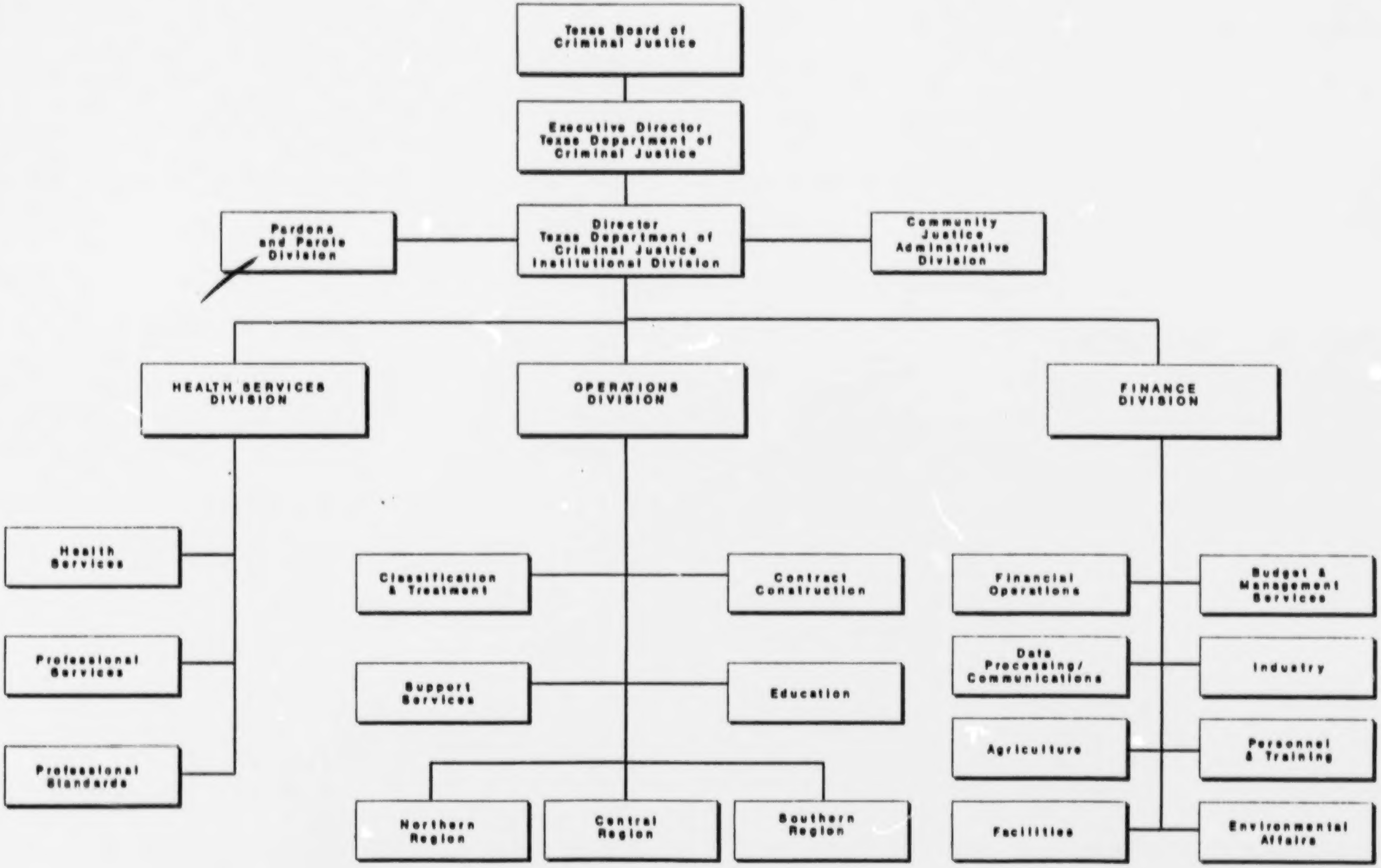
- Pardons and Parole Division
- Institutional Division
- Community Justice Assistance Division

The Institutional Division is responsible for all operations, health services, and finance. The Pardons and Parole Division is charged with all parole actions, pre-parole transfer, executive clemency, parole supervision, electronic monitoring of releasees, and the Reintegration of Offenders (Project RIO) program. The Community Justice Assistance Division is responsible for the state's role in the adult probation and community corrections system.

Within the Institutional Division there are three major subdivisions: Operations, Health Services, and Finance. The Operations Division is responsible for providing inmates with programs designed to facilitate rehabilitation and the management of security within all units. The Health Services Division provides for comprehensive medical, psychiatric, and dental health care for the inmate population. Substance abuse

## EXHIBIT 6-1

## TEXAS DEPARTMENT OF CRIMINAL JUSTICE INSTITUTIONAL DIVISION ORGANIZATIONAL STRUCTURE


Texas Board of Criminal Justice
Executive Director Texas Department of Criminal Justice
Pardons and Parole Division
Director Texas Department of Criminal Justice Institutional Division
Community Justice Administrative Division
HEALTH SERVICES DIVISION
OPERATIONS DIVISION
FINANCE DIVISION
Health Services
Professional Services
Professional Standards
Classification & Treatment
Contract Construction
Support Services
Education
Northern Region
Central Region
Southern Region
Financial Operations
Budget & Management Services
Data Processing/ Communications
Industry
Agriculture
Personnel & Training
Facilities
Environmental Affairs

treatment is also provided through the Health Services Division. The Finance Division includes the budget department, finance operations, data processing, purchasing, and utilities.

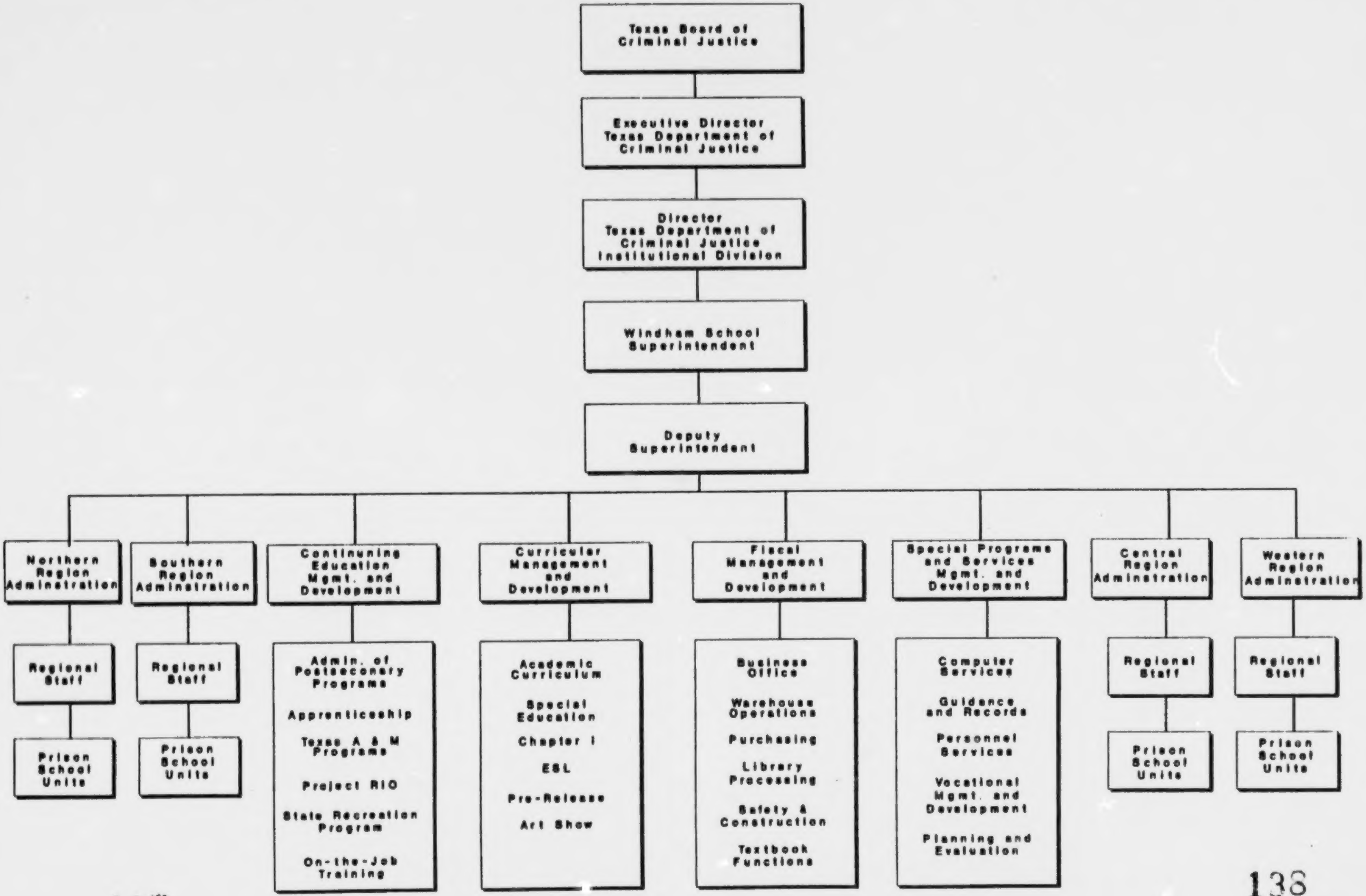
As shown in exhibit 6-1, the Windham School System is part of the Operations Division of the TDCJ. The Operations Division and its functions include:

- classification and treatment -- handle all security and treatment needs of inmates -- covers all decisions that affect the inmates' life during incarceration;
- contract construction -- responsible for all construction projects contracted by the Institutional Division;
- support services -- includes occupational safety and health, access to courts, council substitute program, and the emergency action center;
- all regional support functions.

## Windham Organizational Structure

The WSS organizational structure is composed of a central administrative office, four regional offices housed at the central office in Huntsville, and schools at each unit headed by a principal. This structure is graphically displayed in exhibit 6-2 n the following page. One regional office, the Western, just recently began operations and is now hiring regional staff. This region will be responsible for many of the new units and some of the existing units now covered by the Northern Region. The units currently assigned to each region are:

# EXHIBIT 6-2
# ORGANIZATION OF THE WINDHAM SCHOOL SYSTEM


Texas Board of Criminal Justice
Executive Director Texas Department of Criminal Justice
Director Texas Department of Criminal Justice Institutional Division
Windham School Superintendent
Deputy Superintendent
Northern Region Administration
Regional Staff
Prison School Units
Southern Region Administration
Regional Staff
Prison School Units
Continuning Education Mgmt. and Development
Admin. of Postseconary Programs
Apprenticeship
Texas A & M Programs
Project RIO
State Recreation Program
On-the-Job Training
Curricular Management and Development
Academic Curriculum
Special Education
Chapter I
ESL
Pre-Release
Art Show
Fiscal Management and Development
Business Office
Warehouse Operations
Purchasing
Library Processing
Safety & Construction
Textbook Functions
Special Programs and Services Mgmt. and Development
Computer Services
Guidance and Records
Personnel Services
Vocational Mgmt. and Development
Planning and Evaluation
Central Region Adminstration
Regional Staff
Prison School Units
Western Region Administration
Regional Staff
Prison School Units

**CENTRAL**

Hobby
Lewis
Eastham
Ellis I
Ellis II
Ferguson
Goree
Huntsville
Pack I
Pack II
Hightower
Stiles (UC)
Terrell (UC)

**NORTHERN**

Boyd (UC)
Skyview
Beto I
Beto II
Beto Special
Coffield
Michael
Gatesville
Hilltop
Mountain View
Hughes

**SOUTHERN**

Central
Jester I
Jester II
Jester III
Clemens
Darrington
Ramsey I
Ramsey II
Ramsey III
Retrieve
Torres (UC)
Briscoe
McConnell (UC)

**WESTERN**

Jordan (UC)
Clements
Roach
Smith (UC)
Daniel
Robertson (UC)

(UC) = Under Construction

The majority of Windham's administrative operations are centralized at the Huntsville office. The WSS headquarters is currently organized into the following four divisions:

- Continuing Education Management and Development
- Curricular Management and Development
- Fiscal Management and Development
- Special Programs and Services Management and Development

Two of the four division director positions are currently not filled. The director for special programs position has been vacant for over 18 months and funding for this position was not included in the annual budget for the 1991-92 or 1992-93 school years. The second vacant position, the director of continuing education management and development, was just recently created when the incumbent resigned to take another job.

### 6.2.2 Findings

Our findings are presented under the following six broad categories:

- TDCJ and WSS Organizational Structure
- Governance

- Oversight by TEA
- District Administration and Organization
- Role of Regional Staff
- Governance and Administration in Private Units

### TDCJ and WSS Organizational Structure

A 1990 report prepared for TEA by Andersen Consulting stated that the effective operation of Windham programs had been facilitated by cooperation between TDCJ and WSS staff in "addressing issues as they surface". The study called for a "more deliberate approach toward outlining the roles of each entity ..."

Our surveys and interviews revealed a strong commitment of the TDCJ for corrections education. A total of 91% of the wardens and 90% of principals in public units rate TDCJ commitment to corrections education as *excellent* or *good*. However, the wardens and principals in the private units took the opposite position with the majority rating TDCJ's commitment to education as either *fair* or *poor.*

Our analysis also found that the formally established chain of command which defines the relationship between the TDCJ-ID Director and the Superintendent of WSS is clearly defined, understood and generally accepted. Interviews with representatives of both TDCJ and WSS indicated a strong commitment toward preserving Windham's existing level of autonomy. While a significant amount of autonomy may enhance the image of education as a special entity within the prison environment, our analysis revealed a need for a much higher level of integration between TDCJ and Windham.

To the extent that WSS remains partially autonomous from day-to-day TDCJ operations, education is likely to represent a lower priority than other interests which are more closely aligned with the TDCJ organization (e.g., substance abuse, health care, industry). Our study identified five critical areas in which educational issues are impacted because of the current alignment.

- Facility Expansion: Windham's input to facilities decision-making is limited. Currently, Windham does not have significant input to influence design and planning decisions that will impact the future operation of educational programs for years to come. As TDCJ moves ahead with a major capital expansion program during the next four years, Windham must be provided the opportunity to coordinate effectively with other departmental interests including security, support services, industries and other treatment components to ensure that adequate space is provided to accommodate educational needs.

- Industries/Vocational Education Linkage: Our on-site interviews found extensive evidence of individual teachers, shop supervisors, and industrial workers who supported the concept of linkage between industry and vocational education. Our review also found that a coordinated, TDCJ initiative is lacking. Currently, very little effort is made at the TDCJ departmental level to plan and coordinate vocational education and on-the-job work experiences. WSS' ability to provide students with basic job skills and increased employability must be closely tied to the integration of effective vocational training with the inmates's on-the-job work experience through industries, agriculture, and support services. The development and implementation of policies to accommodate that mission must occur at the highest levels of TDCJ.

- Coordination of Treatment Initiative: Elsewhere in this report we recommend that TDCJ and Windham adopt recidivism as an explicit performance measure for educational programs. Our interviews with Windham professionals revealed hesitancy and concern about adopting the recidivism measure because of a belief that other variables beyond education often contribute to recidivism. Recognizing the validity of such concern, we propose that other treatment initiatives currently managed by TDCJ including substance abuse programs counseling, alcohol treatment, and especially inmate classification be more closely aligned with education. The goal of the more coordinated treatment approach should be to target limited resources toward specific levels of recidivism reduction through a comprehensive treatment approach which balances education, substance abuse treatment, counseling and other program strategies.

- Management Information Systems: Competition for limited departmental resources throughout TDCJ is most evident in the development of management information systems and computerization. Our review of WSS revealed major problems in the current approach to providing information services and in developing a system which will effectively meet educational needs (see chapter 10). Unless and until there is a much higher level of integration of WSS within TDCJ, educational priorities will suffer.

- Operating Efficiencies: Personnel management, warehousing, purchasing, fiscal management, planning and management information systems represent areas where we observed operating inefficiencies and the lack of consolidation of functions with TDCJ. We found that these functional areas within the WSS central office structure appear to hold potential for savings if WSS and TDCJ were more closely aligned.

Information on Organizational Structures in Other States. A variety of organizational structures exist among states for providing corrections education. For example:

- in Ohio and New York, education is housed within the corrections agency;
- in Maryland and Pennsylvania, corrections education programs are within the Department of Education;
- Alabama places corrections education within the community and technical college system;
- Virginia has a special local education agency similar to Texas.

Exhibit 6-3 compares the structure and fund sources within ten states, including Texas.

## EXHIBIT 6-3

## STATE COMPARISONS: STRUCTURE AND FUNDING FOR CORRECTIONS EDUCATION

| ISSUE | STATE | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | TX | WA | IL | MD | PA | VA | OH | AL | NY | MI | CA | FL |
| Education Has Separate Funding Source | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | ✓ | | | | ✓ |
| Education Program Includes Federal Funds | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Education Program Has Governing Board With Corrections and Education Representatives | | | ✓ | ✓ | ✓ | ✓ | | ✓ | | | | ✓ |
| Education Central Office Has Line Authority Over Unit Educational Staff | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | ✓ |

SOURCE: Corrections Education Association, 1992.

As indicated above, the states use many different organizational structures for providing corrections education. Basically, however, the structures fall into one of three categories:

- **Model A:** Managed within and by the Department of Corrections as an integral part of Departmental operations.
- **Model B:** Independent (of Department of Corrections) in governance and management.
- **Model C:** Governed by Department of Corrections Board, but operated as a separate organizational unit.

Each of the above models has its advantages and disadvantages as shown below:

| MODEL | ADVANTAGES | DISADVANTAGES |
|---|---|---|
| ***Model A***<br>Managed Within and By the Department | ▪ Educational programs can be integrated with other corrections programs.<br>▪ Education officials can participate in total program design planning. | ▪ Education may become a low priority in the prison system, especially during tight budget years.<br>▪ Education staff may lose professional identity. |
| ***Model B***<br>Independent Governance and Management | ▪ Education programs and funding priorities determined by Education Board and staff.<br>▪ Education funds not drained off for other corrections priorities.<br>▪ Education staff retain professional identity. | ▪ Education officials do not fully participate in the design and planning of total corrections program.<br>▪ Education programs not well coordinated with other prison programs.<br>▪ Education staff has less control over student admissions and attendance. |
| ***Model C***<br>Governed by Department of Corrections, But Operated As A Separate Organizational Unit | ▪ Education staff can participate in the design and planning of other corrections programs.<br>▪ Education staff can participate in decisions regarding student admissions and attendance.<br>▪ Education is more coordinated with other corrections programs.<br>▪ Education staff retain professional identity. | ▪ Department may place low priority on education. |

As described in the following sections, the Windham School System is patterned after a model C above.

### Governance

The Board of Criminal Justice also serves as the School Board for the Windham School System. According to WSS Policy 4.0, Administration of the Schools, the following denote the responsibilities of the Board, TDCJ Director, Deputy Director, and WSS Superintendent (NOTE: This policy has not been updated to reflect the Department's current structure and titles):

> ***Board of Education.*** *The Texas Board of Corrections serves as the supervising body for Windham School System. The Board of Corrections is composed of nine outstanding business and professional men and women from throughout the state who are appointed by the Governor and confirmed by the State Senate. The Board holds regular meetings bimonthly on the second Monday of the month to conduct the business of the Texas Department of Corrections and the Windham School System.*
>
> ***The Director, Texas Department of Corrections.*** *The Director of the Department of Corrections is the executive head of the organization and manages the affairs of the Department. He is directly responsible to the Board of Corrections.*
>
> ***Deputy Director of Operations.*** *The Deputy Director of Operations is responsible for unit administration, security, training, treatment, classification, and education.*
>
> ***Superintendent of Schools.*** *Under the administrative direction of the Director, Texas Department of Corrections and the Deputy Director of Operations, Texas Department of Corrections, the Superintendent of Windham School System has legal responsibility to the Texas Board of Corrections to provide a comprehensive academic and vocational education program for all inmates in the Texas Department of Corrections who have less than a high school education.*

With the exception of the above statement, the Board policy and procedures manual is silent on the role and responsibilities of the Board in its capacity as the WSS School Board. Many typical policies inherent in the policy manuals of school districts throughout Texas are not contained in the WSS policy manual (also see section 5.2). Among others, these include the Board's powers and duties related to:

- adopting rules
- the annual budget
- mandatory audits
- performance reports
- bequests and depository
- employing personnel
- closing schools

Additionally, unlike other school district policy manuals we have reviewed, as it relates to the Board's function, the WSS manual does not contain a definition of the Board's legal status or the Board's operating procedures.

When wardens, principals, and professional staff were asked to rate the Board of Criminal Justice's knowledge of the educational needs of inmates, 33% of public unit principals and staff (and 44% of wardens) rated the Board's knowledge as *fair* or *poor*. Similarly, 38% of the wardens and 30% of principals and staff rated the Board's knowledge of WSS operations as *fair* or *poor*.

The Board of Criminal Justice meets once every two months and serves as the Windham School Board approximately 10 to 15 minutes at each meeting. Thus, the involvement of the Board of Criminal Justice as the WSS School Board is limited to only about one hour per year. Board interaction with the WSS administration is also minimal. Consequently:

- few policies are presented and adopted by the Board (except those in the personnel area where there are numerous Board-adopted policies);

- the valuable "check and balance" role of a School Board as it relates to district administration is virtually non-existent in the Windham School System;

- WSS senior administrators stated that the current Board Chairman has never been to tne WSS administrative offices; only one Board member has been to the WSS central office in the past three years;

- regional administrators and principals are not called upon to attend Board meetings when regional and unit-specific issues are addressed. In general, attendance at Board meetings and interaction with Board members is limited to the superintendent, deputy superintendent, administrative assistant, and sometimes the budget director.
- while several standing committees of the Board of Corrections meet the day before regular Board meetings, no education standing committee has been appointed and no Board member is currently designated as the liaison to work with WSS on educational issues.

An analysis of the minutes of three Board meetings which occurred during the past year revealed that, in general, the Board is performing a "rubber stamp" role as it relates to the school system -- no substantive discussions were held by the Board of any major WSS issue presented at the Board meetings. This finding includes such potentially controversial issues as the approval of the WSS annual budget. Prior to the July 24th Board meeting at which the 1992-93 WSS budget was adopted, one Board member was given the responsibility to review the budget and he met with staff about one hour the day prior to the Board meeting to do so. As reflected in the Board minutes, a brief (less than 5 minutes) budget presentation was made by WSS staff at the Board meeting with no discussion by Board members. The entire WSS School Board meeting was conducted in ten minutes on this date, as is typically the case.

## Oversight by TEA

TEA is statutorily required to conduct compliance monitoring of federally-funded educational programs (e.g., vocational education, Chapter I, special education) to ensure compliance with program requirements. Also required by state statute is the accreditation of individual school districts by the state agency. Windham School System is not exempt from either compliance or accreditation reviews.

Accreditation reviews are based upon state standards for Texas public schools which are set in statute. The Windham School System was first accredited by TEA in 1970.

During the most recent accreditation cycle, TEA had difficulty in utilizing current standards as a basis for evaluating educational programs in a corrections environment. In the summer of 1989, a TEA accreditation team conducted a pilot review of four WSS units and concluded that the existing TEA monitoring instrument for conducting accreditation reviews was not appropriate. A 1989 TEA accreditation report was prepared but, according to central administrators and confirmed by TEA, the WSS was asked by the TEA to discard the report. We were unable to obtain a copy of this report from either Windham or TEA. To date, a new instrument has not been developed by the state agency, and Windham has not been subjected to an accreditation review as mandated by state statute. Thus, although Windham's policy manual states that the WSS is subject to "the certification and accreditation requirements and regulations of the Texas Education Agency and the State Board of Education" and that the WSS has been accredited by TEA since September, 1970, neither policy has been implemented as required.

The June 1990 *Comprehensive Study of the Windham School System*, completed by Andersen Consulting for the Texas Education Agency states:

> *.... Because of its dual status, TEA and TDCJ have both experienced problems in determining which of their statutes and regulations apply to Windham. Failure of the legislation, and subsequently of TEA and TDCJ, to clearly delineate responsibilities and outline regulations and reporting requirements applicable to Windham has resulted in a lack of direction for all involved.*
>
> *Many of the standard procedures, reporting requirements and methods of review applied to conventional school districts do not fit the Windham model because of Windham's unique service population and methods of instruction. The approach adopted by TEA to address these differences has been to informally waive requirements for Windham.*

> *.... Windham management has agreed to abide by any TEA requirements which apply to Windham programs for audits or compliance purposes. However, Windham's unique environment and population has created a measure of uncertainty as to which TEA rules and requirements should apply and how these requirements should be monitored. Currently, there is no formal documentation of the rules, regulations, or reporting requirements, from which Windham has been waived.*

Andersen Consulting recommended that:

> *.. a joint task force be created of TEA and Windham personnel to identify those State Board of Education and Texas Education Agency policies and rules which apply to the Windham School System and those which do not facilitate curriculum and instructional practices appropriate to this special student population.*

And further:

> *.. obtain approval for and document variances from those policies and rules that do not fit the context of education in corrections institutions.*

While we concur with these major findings and recommendations, we found that TEA has not implemented the above improvements since the Andersen study was completed two years ago. TEA has yet to provide WSS with a list of waivers and variances from state rules and regulations. However,

- a project to generate such a list was initiated in 1990 by TEA but never completed.
- the superintendent has drafted a list of exemptions of which she is aware, but this list has not been approved by the TEA.

On the surveys, we asked wardens, principals, and professional staff to rate the commitment of TEA for corrections education. About 50% of the wardens and staff, and 75% of the principals believe the TEA commitment is *excellent* or *good*; about one-fourth of the principals and staff, and 15% of the wardens, rate the TEA commitment as *fair* or *poor*; the remaining respondents stated they *don't know*.

District Administration and Organization

The superintendent and deputy superintendent have been at Windham for over 20 years, and they are well respected by the staff. The superintendent's role is to provide leadership and advocacy while the deputy superintendent serves as the chief supervisor and operations manager.

When surveyed, 65% of the wardens and staff, and 81% of the principals rate the superintendent's work as an instructional leader as *excellent* or *good*. Similarly, over 70% of all respondents rated the superintendent's work as the chief administrator of WSS as *excellent* or *good*.

Although Board Policy 4.0 states that the superintendent is only responsible for providing a comprehensive educational program for inmates who have less than a high school education, in practice this is not accurate. As noted in the WSS organizational chart (exhibit 6-2), the superintendent is also responsible for the continuing education management and development division which includes all postsecondary education programs, Texas A & M programs, apprenticeship and on-the-job training.

Our review of the WSS organizational chart and structure revealed that:

- The chart is not accurate. For example, the current organizational chart (June 1992 update) shows a position for a Director of Special Programs and Services which is not included in the budget and the position has been vacant for over 18 months.
- The organizational structure does not logically group positions, is inefficient, and lacks important functions. For example:
    - elementary/secondary academic, vocational, and continuing education programs are housed in three separate divisions and little coordination exists between the three divisions;
    - no office is responsible for producing a comprehensive long-range plan;
    - the same system-wide coordinator is responsible for libraries, textbooks, and construction – an unusual combination of responsibilities requiring different sets of knowledge and skills;

- the student testing function is housed in data processing;
- no office or staff is responsible for evaluating the costs and effectiveness of current operations. In fact, no systematic evaluations are conducted;
- the system-wide media center, which is located at the Huntsville Unit, serves academic and vocational programs, as well as administrative functions -- yet the media center is administratively housed under vocational education;
- too many (12) individuals currently report to the deputy superintendent (e.g., since a special programs division director has not been hired, each of the administrators in this division currently report directly to the deputy superintendent) creating a span of control and coordination problem because of the variety of both administrative and programmatic functions under the deputy.

As stated previously in section 2-1, the overall goal of the WSS school program is "to provide the opportunity for its students to acquire the academic and vocational skills necessary for any adult." During our visits to the 20 units, we asked principals and professional staff to assess the services which they received from WSS central office staff to help them achieve this goal. Teachers and administrators stated that they often feel isolated from the Huntsville central office. Their opinions on curriculum are not solicited and, in many cases, they are not provided with the services which they believe are needed for the educational programs at each unit to be most effective. For example:

- We were told that the central staff spend "little or no time" at the unit level training staff, providing technical assistance, and soliciting feedback from faculty. Further, staff in the curriculum and instructional services division are developing curriculum with little teacher input. Teachers have not been asked to serve on advisory committees nor have they been asked for their input into curriculum guides.
- Computer-assisted instruction (CAI) labs are set up and maintained with little input from central office staff who are responsible for this function. In one unit we observed new computers still in boxes which the central office had sent to the unit. The computers had been there for several months with no software and no instructions on how to use them.

- Due to the time consuming system-wide record keeping task, the guidance and records office director and staff are able to spend only minimal time at the unit level to provide technical assistance and training, especially for new counselors.

### Role of the Regional Staff

Four regional offices comprise the Windham School System. Exhibit 6-4 displays the type and number of regional staff in each of the four regions.

EXHIBIT 6-4

REGIONAL STAFFING BY TYPE AND NUMBER

| STAFF TYPE * | REGION | | | |
|---|---|---|---|---|
| | CENTRAL | SOUTHERN | NORTHERN | WESTERN |
| Regional Administrator | 1 | 1 | 1 | 1 |
| Assistant Regional Administrator | 1 | To be filled in 1992-93 | 1 | 1 (1992-93) |
| Administrative Secretary | | 1 | 1 | 1 |
| Secretary | 2 | 1 | 1 | 1 (1992-93) |
| Instructional Appraiser | 1 | 1 | 1 | 1 (1992-93) |
| Instructional Supervisors | | | | |
| Academic | 2 | 2 | 2 (1 in region) | 1 (now in region)<br>1 (in 1992-93) |
| Vocational | 2 (both in region) | 2 (1 in region) | 2 (both in region) | 2 (in region in 1992-93) |
| Special Education | 1 | 1 | 1 | 1 (in region in 1992-93) |
| Special Education Assessment Personnel ** | 4 | 2 | 8 | n/a |
| Continuing Education Supervisor | 2 | 1 | 2 | 1 |
| TOTAL REGIONAL STAFF | 16 | 12 | 20 | 10 (in 1992-93) |

* All staff housed in Huntsville unless otherwise indicated.

** Most special education assessment personnel are housed in each region.

The roles and responsibilities of the regional administrator, assistant regional administrator, and other regional staff are not well defined by the district administration. Regional administrators spend weeks at a time in the central office attending meetings and completing paperwork requirements. Our review raised serious questions about the efficiency and effectiveness of the WSS current regional organizational structure.

- During our interviews, the range of responses by the four regional administrators as to what percent of time they should be in the region was from 20 to 60 percent.

- All four regional administrators are located in Huntsville. Some regional administrators believe they should be located in their region; others disagree. The superintendent and deputy superintendent stated that a relocation of the regional staff has been considered.

- The position of assistant regional administrator was created last year. Two of four regions currently have assistant regional administrators and plans exist to hire the other two assistants in 1992-93. Both current assistant regional administrators are located in Huntsville. According to the Western regional administrator, the assistant in the Western Region will be asked to locate in the region when the position is filled. We were unable to ascertain the need for assistant regional administrators. Regions which had no assistants were functioning as efficiently and effectively as regions with assistant regional administrators. In the regions in which they exist, principals were not aware of the role and responsibilities of assistant regional administrators.

- Regional administrators each had between $9,500 and $23,000 budgeted for travel in 1991-92. Our analysis shows a broad disparity (from 21% to 93%) when the regions are compared in the percent of travel budget expended at the end of the 1991-92 fiscal year (see exhibit 6-5). With the exception of the Southern Region, appropriated funds for travel are either being transferred into another budget category or not expended. Exhibit 6-5 supports the finding that regional staff are spending only limited time in their region, including the Central Region in which the headquarters office is housed.

## EXHIBIT 6-5

## TRAVEL BUDGETS AND EXPENDITURES FOR 1991-92 BY WSS REGION

| REGION | BUDGET CATEGORY | BUDGET IN 1991-92 | TRANSFERS | EXPENDED & ENCUMBERED 7/2/92 | UNENCUMBERED | PERCENT OF BUDGET EXPENDED |
|---|---|---|---|---|---|---|
| Northern | Administration (6500) | $11,460.00 | $ 0.00 | $ 5,033.76 | $ 6,426.24 | 44% |
| | Vocational (3501) | $ 3,820.00 | -$ 1,059.29 | $ 0.00 | $ 2,760.71 | 0% |
| | Special Education (4502) | $ 3,820.00 | -$ 2,372.01 | $ 0.00 | $ 1,447.99 | 0% |
| Central | Administration (6600) | $ 5,252.00 | -$ 13.90 | $ 1,106.86 | $ 4,131.24 | 21% |
| | Vocational (3601) | $ 5,061.00 | -$ 2,921.11 | $ 107.00 | $ 2,032.89 | 5% |
| | Special Education (4602) | $ 859.00 | -$ 95.00 | $ 0.00 | $ 763.10 | 0% |
| Southern | Administration (6700) | $11,460.00 | -$ 2,472.51 | $ 8,378.66 | $ 608.83 | 93% |
| | Vocational (3701) | $ 8,308.00 | -$ 2,831.59 | $ 3,684.37 | $ 1,792.04 | 67% |
| | Special Education (4702) | $ 3,342.00 | -$ 564.20 | $ 2,460.90 | $ 316.90 | 89% |
| Western | Administration (6800) | $ 9,550.00 | -$ 1,122.85 | $ 5,804.04 | $ 2,623.11 | 69% |
| | Vocational (3801) | N/A | N/A | N/A | N/A | N/A |
| | Special Education (4802) | N/A | N/A | N/A | N/A | N/A |
| **TOTAL** | **All Categories Combined** | **$62,932.00** | **-$13,452.46** | **$26,575.59** | **$22,903.05** | **54%** |

SOURCE: WSS Budget Office, July 1992

- Many principals reported a lack of on-site monitoring, visitation, and supervision by the regional administrators. Although regional administrators are only "a phone call away in Huntsville", they are not at the units in their region frequently and they are not providing necessary supervision. This is true even for new principals who were recently hired and need additional on-site support.

- The regional administrator's job description does not clearly define the regional administrator's responsibilities at the unit level, including his/her responsibility as supervisor of the unit principals.

- The regional administrator's evaluation form (used by the deputy superintendent) does not assess the degree or quality of service provided to the region by the administrator, nor the amount of on-site time in the region or at each unit by the regional administrator and his or her staff.

- Most regions have five instructional supervisors -- two academic, two vocational, and one special education. Some instructional supervisors and other staff reside in the region and have minimum supervision. The determination of the location of the instructional supervisors and other regional staff appears to be made on the basis of current residency, rather than on the basis of organizational structure or sound management practices.

- About one-third of the principals at the units we visited stated that the instructional supervisors are not helpful to their staffs. This was especially true in the academic area, and less prevalent in vocational and special education where instructional supervisors were more frequently in the region and providing valuable assistance at many units.

## Governance and Administration in Private Units

The Venus and Cleveland units are administered centrally by the Corrections Corporation of America based in Nashville, Tennessee. The Bridgeport and Kyle units are administered by Wackenhut Corrections Corporation based in Coral Gables, Florida.

Windham staff annually monitor education programs in these four private units. The monitoring procedures and instruments utilized by WSS to review the four private schools are a similar set of TEA accreditation standards which the Texas Education Agency has stated to be inappropriate for use in accrediting the Windham School System. The contract between TDCJ and the private corporations specifically states that each private unit must "meet or exceed the educational standards for accreditation by the TEA that are applicable to the Windham School System". Consequently, Windham is applying accreditation standards which Windham, itself, and the TEA have deemed to be inappropriate.

Our findings in the Wackenhut private units as they relate to governance and administration are as follows:

- In both Wackenhut units, the assistant warden for programs (the principal's supervisor) is the liaison between the principal and the corporate headquarters, as well as with TDCJ and WSS. The corporate office provides little direct support to the principals in the Wackenhut units.
- Some program sharing and standardization of practices exist between Kyle and Bridgeport in the areas of administration and staff training.
- The Wackenhut units have no school board.

In the CCA units, our findings are:

- Both Venus and Cleveland have advisory school boards which meet monthly and quarterly, respectively. Since these Boards are relatively new, their effectiveness can not be assessed at this time. The unit principal is a non-voting member of the Board. Most Board members are CCA employees, although a few members have been appointed from the local community.
- Even though the CCA unit Boards of Education supposedly have budget approval authority, we were told emphatically by the warden and principal in the Cleveland Unit that the school had no budget.
- At one CCA unit, the principal has been at the unit for over a year but has never interacted with the educational administrator of the corporation.
- There appears to be little sharing and standardization among the CCA units.

### *6.2.3 Recommendations*

#### TDCJ and WSS Organizational Structure

During the course of this study, it became apparent that greater integration and organizational alignment of the Windham School System within the Texas Department of Criminal Justice are needed. In several administrative areas, we observed independent, uncoordinated systems which were not efficient or effective.

Potential opportunities exist for savings, but these cannot be attained without a greater integration of WSS within TDCJ. Since it was beyond the scope of our study to conduct an in-depth analysis of the TDCJ or an evaluation of the Department's administrative functions and services provided to its employees, we can not project the extent of the integration which would be appropriate or exactly how to integrate functions and services.

- As introduced in Chapter 5 on pp. 5-24 and 5-25, we recommend that an independent analysis be conducted to develop and implement a plan for the consolidation and alignment of Windham within the Texas Department of Criminal Justice by FY 94, especially as it relates to the following administrative and programmatic functions:

- Personnel
- Counseling
- Substance Abuse Treatment
- Classification
- Financial Management
- Management Information Systems
- Purchasing
- Media Services
- Warehousing
- Industries

- We recommend that all academic, vocational, and postsecondary education programs continue to be consolidated and coordinated within the Windham School System under the Superintendent of Schools. All WSS policies and procedures should be modified to reflect the actual role for postsecondary education within the system. We further recommend that the name of the system be changed to Windham Education System to reflect the comprehensive responsibility for all levels of education which it serves.

- With the proposed integration of WSS administrative and programmatic functions within TDCJ, we recommend that WSS be funded as a line-item, earmarked appropriation to TDCJ directly from general revenue and not through the FSP. We further recommend that the basis for funding Windham continue to be a contact hour formula similar to the one used as a part of the Foundation School Program (FSP) fund (see page 8-18 for additional recommendations on funding formula.).

## Governance

- An Education Standing Committee should be established consisting of three members of the current Board of Criminal Justice. Representatives of the Commissioner of Education's Office, the State Auditor's Office, the TDCJ Director, and the Texas Commission on Alcohol and Drug Abuse should serve as ex-officio members of the Education Standing Committee.

- The Education Standing Committee should regularly meet as other standing committees the day preceding each of the six Board meetings annually. A committee chairman should be appointed by the members and have the authority to call additional committee meetings between regularly scheduled Board meetings.

- Training, as to the appropriate role and responsibilities of a School Board and Board members, as defined by the Texas Constitution and the State Legislature, should be provided by the TEA or the Education Service Center(s) to all Board members.

## Oversight by TEA

We recommend that TEA:

- As the agency responsible for enforcing the standards and regulations of the State Board of Education as prescribed by the Texas Education Code, immediately provide the Windham School System and the privately-operated prisons with a comprehensive list of statutes, rules, procedures, and reporting requirements with which they must comply.

- Following the development of the above document, standards and a monitoring instrument should be created by the state education agency for the accreditation of this unique school district. (See Appendix E for Corrections Education Monitoring Standards Used in Other States.) An accreditation schedule should be set up and periodic reviews maintained as in other school districts throughout Texas.

- Provide the same level of support to Windham as provided to school districts of comparable size, including the full array of appropriate services and technical assistance available through all Regional Educational Service Centers (not only the ESC for Region 6 which is located in Huntsville) including:
    - staff development for teachers and other personnel
    - curriculum development assistance
    - computer-assisted instructional services
    - training for School Board members

## District Administration and Organization

The WSS should reorganize its administrative structure to improve operational efficiency and effectiveness. Accordingly, we recommend the following organizational changes in the Windham central office:

- The superintendent should continue to supervise the deputy superintendent with other division managers reporting to the deputy superintendent. This structure relieves the superintendent of detailed management responsibilities which can be effectively delegated. Further, the existing structure permits the superintendent to serve as the primary person responsible for coordinating and interfacing with the Department of Criminal Justice, the Texas Education Agency, and the Board of Criminal Justice.

- The deputy superintendent should continue to directly supervise the four regional administrators who in turn supervise all school principals.

- To reduce the number of other staff reporting directly to the deputy superintendent and to improve the planning and coordination of programs, all other staff should be organized into the following three units:
    - Division of Administrative Services
    - Division of Instructional Services
    - Office of Planning, Budgeting, and Evaluation

- The financial, purchasing, personnel, computer services, warehousing offices, and media center should be grouped into a single administrative services division with a director reporting directly to the deputy superintendent.

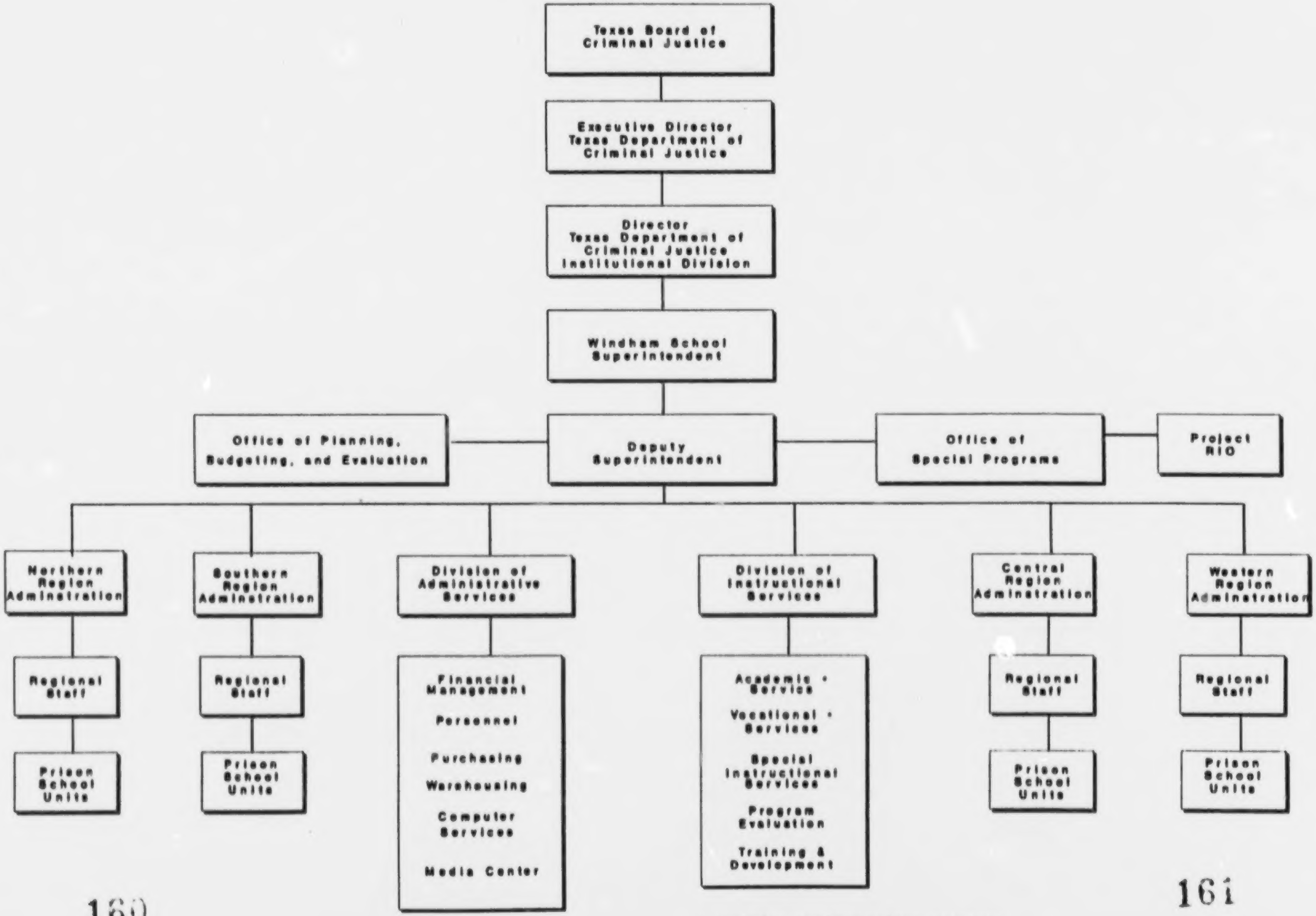
- A Division of Instructional Services, reporting directly to the deputy superintendent, should be created with responsibilities for:
    - academic programs (including postsecondary education)
    - vocational programs (including postsecondary education)
    - special instructional services (e.g., guidance and testing)
    - training and development services
    - program evaluation services
    - Project RIO and other special programs

- A planning, budgeting, and evaluation office should be created and report to the deputy superintendent (see chapter 8 for the duties of this office).

- Our recommended organizational structure, summarized in exhibit 6-6 will:
    - reduce the number of staff directly supervised by the deputy superintendent from 12 (excluding clerical) to a more manageable number of seven.
    - enable the superintendent to continue to focus more on the WSS's educational programs and on overall WSS management direction, and not on detailed administrative and support management issues.
    - group closely interrelated operational systems in the same division so that improvements in operational efficiency and effectiveness can be easily managed by a division director.
    - more clearly assign accountability responsibilities for WSS management.

- The focus of responsibilities for central office divisions and offices should be to provide service to the school units who are responsible for educating inmates. Performance measures should be developed by each office and each division to assess the extent to which quality services are being provided.

# EXHIBIT 6-6
# PROPOSED ORGANIZATION OF THE WINDHAM SCHOOL SYSTEM


Texas Board of Criminal Justice
Executive Director Texas Department of Criminal Justice
Director Texas Department of Criminal Justice Institutional Division
Windham School Superintendent
Office of Planning, Budgeting, and Evaluation
Deputy Superintendent
Office of Special Programs
Project RIO
Northern Region Administration
Regional Staff
Prison School Units
Southern Region Administration
Regional Staff
Prison School Units
Division of Administrative Services
Financial Management
Personnel
Purchasing
Warehousing
Computer Services
Media Center
Division of Instructional Services
Academic * Services
Vocational * Services
Special Instructional Services
Program Evaluation
Training & Development
Central Region Administration
Regional Staff
Prison School Units
Western Region Administration
Regional Staff
Prison School Units

* includes postsecondary services

160

161

## Role of Regional Staff

- A regional office should be created and maintained in each of the four regions. These offices should be housed with the TDCJ-ID regional offices in each region.
- All regional staff should be required to reside in their region and spend a majority of the time at the unit level.
- The position of assistant regional administrator should be eliminated.
- Instructional supervisors should be limited to three per region (one each for academic, vocational, and special education).
- Job descriptions of regional administrators should require that they spend at least 50% of their time at the unit level.
- The evaluation of regional administrators, instructional supervisors, and other regional staff should include a component to determine the effectiveness of the services which they provide at the unit level.

## Governance and Administration in Private Units

- At both the CCA and Wackenhut units, the corporate headquarters, and especially the education administrator, should more closely administer educational programs to ensure quality control and accountability. Although the Wackenhut units have an assistant warden for programs who serves this role to some extent, the principal should be identified as the educational leader and have the authority and access to the corporate educational administrator.
- A requirement should be established in the contracts with CCA and Wackenhut that their schools must be accredited by TEA using the same standards developed by TEA to accredit Windham.
- TDCJ-ID should continue to annually monitor the operations of the privately-managed schools. The monitoring, however, should be limited to contract compliance. (In other sections of this report, we recommend that a more rigorous, detailed contract be developed with the private corporations.) To assist in monitoring, the contracts should require that the private units submit quarterly reports to WSS regarding:
  - students
  - classes
  - enrollments
  - staffing
  - budgets
  - expenditures
  - performance

### *6.2.4 Financial Impact*

TDCJ and WSS Organizational Structure

- The estimated cost for the development of an implementation plan for the integration of WSS functions with other TDCJ administrative and program operations will be approximately $30,000 (estimated 600 hours of staff time plus travel and per diem).
- The consolidation of academic, vocational, and postsecondary education programs into one unit will increase efficiency and effectiveness of WSS central office operations, and reduce the number of central office staff needed to administer and support the three programs by three professional and clerical positions, resulting in an annual cost savings of $137,500 (estimated at an average salary of $35,000 for professional positions and $20,000 for clerical, plus 10% for benefits).

Governance

- Board training by the Education Service Center will cost about $1,000.

TEA Oversight

- There would be no cost to Windham for the recommendations related to TEA oversight responsibilities, but there would be costs to TEA which are not being currently expended.

District Organization

- Our recommendations related to district organization will improve the efficiency and effectiveness of the WSS Central Office in Huntsville and reduce the number of central office division directors by two positions, producing an estimated annual savings of $110,000 (estimated at an average salary of $50,000, plus 10% for benefits).
- The creation of a planning, budgeting, and evaluation office will require that two professional and one clerical position be added at a total estimated annual cost of $110,000 ($40,000 per professional position; $20,000 per clerical position, plus 10% for benefits).

Regional Staff

- Eliminating the four positions of assistant regional administrators will save about $45,000 per region annually, or a total of $198,000 with benefits.

- A reduction in the number of instructional supervisors in each region by two will save approximately $70,000 per region ($35,000 per position) for an annual total savings in the four regions of $308,000 with benefits. This ratio is consistent with other independent school districts which we have audited.

Private Units

No costs or costs savings are required to implement the recommendations related to governance and administration in the private units.

### *6.2.5 Implementation Strategies*

TDCJ and WSS Organizational Structure

The independent analysis to develop an implementation plan should commence by January 1993 with a report to the Board of Criminal Justice and Governor by June 1993 for implementation in FY 94. Most implementation strategies for the alignment and integration of WSS within the Texas Department of Criminal Justice should be presented in the proposed implementation plan.

Governance

The Education Standing Committee should be appointed by the Board Chairman prior to December 1992 and begin functioning at the first Board meeting in 1993. Prior to the creation of the new committee, all Board members should be oriented and trained by the TEA, the Education Service Center in Huntsville, or the center in their region.

TEA Oversight

A Corrections Education Standards Task Force should be appointed by the Commissioner of Education. Task Force membership should include, but not be limited to a deputy commissioner, TEA accreditation staff, Windham staff, and staff from the private units. As a first step, the appointed task force should prepare a list of existing statutes and regulations from which WSS is exempt from compliance. After this list has been generated, the task force should develop a set of standards and a monitoring instrument which can be used effectively in the accreditation review of the Windham School System, and the prison schools managed by the private corporations.

As a starting point, we suggest that the TEA-appointed task force contact the Corrections Education Association for the standards which they have developed and piloted, and are currently being used to monitor corrections education programs in several states. These are included in Appendix E. (NOTE: These standards are too generic in their current form, but they provide a base for the future development of appropriate monitoring standards for use in Texas.)

### District Administration and Organization

The WSS reorganization should become effective January 1, 1993. We recommend that the superintendent appoint an internal Reorganization Task Force of WSS staff which would include central, regional, and unit administrators and staff to assist the superintendent and deputy superintendent in finalizing the reorganizational structure.

### Regional Staff

The changes in the composition and location of regional staff should also be implemented in 1993-94 with the Reorganization Task Force also assigned this responsibility.

Private Units

The recommendations regarding the private units should be implemented prior to finalization of the next contract with Wackenhut and CCA.

## 6.3 Rules, Policies, and Administrative Procedures

### 6.3.1 Current Situation

Effective management of school systems requires sound, clearly written, and legally valid policies. State Board of Education rules mandate that each school board in Texas adopt polices that govern the operation of its schools and make them accessible to all school employees. Board-adopted policies provide direction to the district administration as to the intent of state statutes and regulations, as well as provide the vehicle for the Board as a legal agent of the State of Texas to exercise its power and duties. The state has not waived this requirement as it relates to the Windham School System.

In response to our request, the Windham School System provided us with an up-to-date set of Board policies and administrative procedures. Policies and administrative procedures are contained in a single manual. Board-adopted polices are noted in the top right hand corner of each policy. Administrative procedures are those documents in the policy manual which do not have a Board adoption date. The WSS has no additional or supplemental administrative procedural manuals. In the manual, no differentiation exists in coding of policies and procedures -- they are numbered sequentially.

The Windham School System does not utilize the Texas Association of School Boards (TASB) policy service nor have TASB and TEA reviewed the WSS policy and procedures manual. TASB was contacted several years ago about the possibility of providing such service, and WSS officials were advised that the service would be too costly as TASB would need to extensively customize its services to meet WSS needs.

### *6.3.2 Findings*

Our review of the Board policy and procedures manual revealed that very few policies are adopted by the School Board. The majority of the regulations within this manual, with the exception of section 7.0, Employee Management, and some in section 8.0, Program Management, are administrative procedures and therefore not sent to the Board for adoption. According to the foreword of the WSS Policy and Procedure Manual:

> *If changes or additions to this manual are needed or recommended, such changes or additions will be submitted to the Superintendent of Schools for consideration. The Superintendent will consult with the Deputy Director of Operations/or Director if a change in administrative procedure affects TDC personnel or operations; otherwise, the Superintendent will decide and direct Windham School System administrative procedures. The Superintendent will recommend Windham School System policy changes to the Windham School System Board of Education for adoption.*

In general, most policies which would be typically submitted for Board adoption in Texas school districts are considered administrative procedures within the Windham School System and approved by the superintendent and not the Board.

For the most part, the policy and procedures manual which we reviewed was up-to-date. Exceptions include:

- Policy 4.0 (Administration of Schools) refers to the old TDCJ organizational structure.
- Procedures 8.11 (Physical Education Program) and 8.13 (Music Program) were included in the manual but we were subsequently advised that these requirements had been deleted.
- Procedures 10.04 and 10.05 address high school diplomas which are no longer given by Windham; these procedures must be updated.

Our analysis of the process and procedures used to submit proposed policies to the Board for approval reveals that:

- when policies are sent to the Board for adoption or modification, they are placed on the consent School Board agenda, and not on the discussion agenda;

- although proposed new or revised Board policies are mailed to the Board members ahead of a meeting for their review, these policies are presented to the Board for adoption at the same meeting at which they are introduced. (In other words, the characteristic two-meeting process utilized by other school districts for adopting policies is not followed.);
- the documentation provided to the Board prior to the Board meeting to support a proposed modification to an existing policy does not include reference to the current policy number, and therefore was difficult to cross-reference with the policy and procedures manual;
- for a policy which is being proposed for modification, the section of the existing policy is not included in the documentation provided to the Board. (Most school districts present modified policies to the Board by crossing out existing, outdated language and underlining new, proposed language.)

With regard to the Board of Criminal Justice's work at setting or revising policies, only 50% of the employee respondents stated it was *excellent* or *good*; 25% stated it was *fair* or *poor*, and the other 25% *did not know*.

A system for easy retrieval of Board policies and administrative procedures does not exist -- the manual contains no table of contents and with the exception of the personnel management area (section 7.0, Employee Management), the system for organizing policies and procedures within each of the six major sections of the manual is difficult to follow. Further, the lack of numerical or color-coded differentiation between policies and procedures augments the difficulty for retrieval of selected elements in the document.

WSS currently has no formal process for the periodic purging of old policies and procedures. While on-site, we were advised that a purging process was being considered.

We examined the WSS policy and procedure manual while on-site at the 20 units and noted that, with a few exceptions, unit manuals were up-to-date. When periodic changes to policies and procedures are disseminated to principals, for the most part, they are incorporated in a timely and appropriate manner into the unit's policy and procedures manual.

While most principals were knowledgeable of WSS policies and procedures, several principals, especially newer ones, did not appear to be current on existing policies nor could many principals distinguish between Board-approved policies and administrative procedures.

Once again, without direction from TEA in terms of which state statutes and regulations apply to Windham, it is difficult for WSS administrators to ascertain which statutory changes constitute the need for the creation of a new policy or modification of existing policy.

### Policies and Procedures in Private Units

According to the private corporations' contract with TDCJ-ID, "a written set of operational policies and procedures for educational programming shall be completed within 120 days of execution of the contract." Both Wackenhut and CCA units have policy manuals which provide minimal procedures and expectations for the operation of the school system consistent with TEA and WSS standards. We found the following:

- The Wackenhut policy manual is the most comprehensive of the two. Yet, the Wackenhut policy and procedures manual is still under development for education-related matters and contains less in the sections on personnel and curriculum than one would expect.
- The CCA policy manual was completed in 1991. The manual is not comprehensive (e.g., the teacher's salary schedule and appraisal instrument are not included).
- The Venus principal has drafted a procedures manual for her campus to supplement the weak policy manual. Although the manual is still being developed, the draft procedures manual which we reviewed was very thorough.

### *6.3.3 Recommendations*

- Following clarification by TEA (as recommended in section 5.2) as to which statutes and regulations corrections education programs must comply with, the Corrections Education Standards Task Force (as called for in section 5.2.5) should conduct a complete review of the policy and procedures manual. The purpose of this review should be to:
  - provide clarification as to which current administrative procedures should be submitted to the Board as policies to be adopted.
  - provide direction as to how to more systematically examine the policies and procedures manual for easier retrieval of documents, including the addition of a table of contents.
  - ensure that the WSS is in compliance with its legal responsibility as it relates to policy adoption; that is, to ensure that all required statutes and regulations have respective corresponding Board-approved policies, when appropriate.
- When policies are submitted to the Board for adoption, complete documentation should be contained in the pre-agenda package which is submitted to Board members prior to the Board meeting, including:
  - the rationale for the creation of a new policy or modification of an existing policy;
  - the new language being proposed and old language being deleted;
  - the reference number of an existing policy being modified or deleted.
- Proposed policies being submitted to the Board for approval and adoption should be placed on the discussion, and not on the consent agenda.
- The WSS private unit monitoring reviews should include an analysis of the Wackenhut and CCA policy manuals to ensure that they are comprehensive and in compliance with contractual requirements.

### *6.3.4 Financial Impact*

None

### *6.3.5 Implementation Strategies*

The recommended improvements outlined in section 5.3.3 can be implemented by WSS with minimal modifications. When policies are submitted to the Board for adoption or modification, a more comprehensive package should be provided to the members for background information to enable the Board to make informed policy decisions.

Prior to the review of the policy manual by the Corrections Education Standards Task Force, the WSS should be provided with a TEA-approved list of statutes and rules with which they must comply as recommended in section 5.2.3 of this chapter.

## *6.4 School Management*

### *6.4.1 Current Situation*

Each of the 36 corrections education units which comprise the Windham School System each have a principal. Until a few years ago, the larger units also had an assistant principal, but this position has been deleted throughout the system. Although the Board policy manual does not address the issue of school-based management, nor could documentation be provided to verify that the state has waived this requirement for WSS, a September 1991 memo from the superintendent to the Deputy Commissioner for Operations and Services contains the following statement:

> *As a result of our meeting, it is our understanding that we agreed to the following:*
>
> *... WSS will not be required to implement site-based management because of our unique situation but will continue with practices such as input from teachers in budgeting, staff development, district goals, etc.*

Further, while the policy manual includes a procedure on the responsibilities of the teacher, the manual does not address the role and responsibilities of the school principal.

### *6.4.2 Findings*

Performance of Principals. Wardens, principals, and professional staff at each unit were asked to give principals a grade. The survey results were very positive -- 88% of the public unit wardens, 97% of the principals, and 79% of the professional staff rate the WSS principals as *A* or *B*, less than 10% of all respondents rate the principal as *C*, with less than 4% rating principals as *D* or *F*. Similarly, over 95% of the principals and wardens, and over 75% of the professional staff, either *strongly agree* or *agree* that there is administrative support at the unit level for controlling student behavior. Over 85% of the wardens and principals rate the principals' work as both an instructional leader and manager as *excellent* or *good*; about 75% of the professional staff concur. The most negative response to a survey item relates to the opportunities provided to improve the skills of principals -- 42% of the principals in the public units believe staff development opportunities are *fair* or *poor*. A significant percentage of wardens (35%) and staff (41%) responded *do not know* to this item.

School-Based Management. As noted in section 6.3.1, the WSS appears to be exempt from school-based management regulations imposed by the state. Nonetheless, several characteristics of school-based management are found in the WSS units. For example:

- Each unit has a campus improvement plan - administrators and staff serve on advisory committees to develop and monitor these plans.
- Each principal stated that he/she was extensively involved in hiring decisions (87% of public unit principal respondents to the survey and 100% of private unit principal respondents).
- Each principal must prepare and defend his/her annual unit budget proposal to district administrators.

In most other areas, the level of principal authority in the decision-making process is minimal. For example:

- In the area of transfer requests, administrative procedure 7-29 (which is not Board-approved) states that: "Principals may not reassign teachers on their units from one phase/program to another without prior approval from their regional administrator and completion of official documents approving the change."

- At least three principals noted that, although they would like to contract with the Education Service Center in their region to provide free and fee-based staff development services for their teachers, they are prohibited from doing so by the central office. (Note: WSS officials stated that this is a perception and not policy.)

- The principal's degree of authority over his/her budget is minimal.

- Several principals stated that the central office prohibits teachers from using the copy machine, and that the principal does not have the authority to permit teachers to copy instructional materials other than on the antiquated mimeograph machine, which often results in unreadable copies for students.

- The principal has little or no input into which academic and vocational programs will be offered at his/her unit.

The central administration and regional administrators have more management control over school units than principals. The principal appears to be a "caretaker" position rather than a leadership and manager position. This is reinforced by the mass transfer of principals among units each year.

Principal Transfers. Although no WSS policies exist on the transfer of principals among units, the philosophy of the superintendent, deputy superintendent, and half of the regional administrators is that principals should be transferred among units periodically.

- "Periodically" is defined by district administrators who we interviewed as approximately every three years. Yet, the "approximately every three years" is supported by limited data in exhibit 6-7 which shows that only three (Jester III, Pack I, and Pack II) of the 26 units (11.5%) have had the same principal for four years.

## EXHIBIT 6-7

## PRINCIPAL TURNOVER IN THE WINDHAM SCHOOL SYSTEM BETWEEN 1988-89 AND 1991-92 SCHOOL YEAR

| UNITS WITH EDUCATIONAL PROGRAMS OPERATIONAL FOR FOUR YEARS OR MORE | NUMBER OF PRINCIPALS AT UNIT IN FOUR-YEAR PERIOD |
|---|---|
| Beto I | 2 |
| Beto I - Special | 3 |
| Beto II | 2 |
| Central | 2 |
| Clemens | 3 |
| Coffield | 2 |
| Darrington | 4 |
| Eastham | 3 |
| Ellis I | 2 |
| Ellis II | 2 |
| Ferguson | 2 |
| Gatesville | 2 |
| Goree | 4 |
| Hilltop | 2 |
| Huntsville | 3 |
| Jester I and II | 3 |
| Jester III | 1 |
| Michael | 3 |
| Mountain View | 2 |
| Pack I | 1 |
| Pack II | 1 |
| Ramsey I | 3 |
| Ramsey II | 3 |
| Ramsey III | 3 |
| Retrieve | 2 |
| Wynne | 3 |

| SUMMARY | | PERCENT |
|---|---|---|
| Total Number of Units in Operation 4 Years or More - | 26 | 100.0% |
| Since the 1988-89 school year, Number of Units Which Have Had: | | |
| One Principal - | 3 | 11.5% |
| Two Principals - | 11 | 42.3% |
| Three Principals - | 10 | 38.5% |
| Four Principals - | 2 | 7.7% |

- Twelve units (46%) have had three or four principals in the last four years.

While on-site, the justification provided by district and school administrators for this transfer practice was to prevent incidents such as tampering with records and padding reports (as happened at Beto I) from reoccurring. We believe that the monitoring of contract hours and teacher sick leave by the regional administrator provides a more effective and efficient means to guard against tampering with records than through the use of frequent principal transfers.

The practice of frequently transferring principals among units has adversely affected:

- the ability of the principal to perform as both an instructional leader and school manager;
- the ability to build and maintain positive staff relations;
- the ability to support and promote quality instructional programs;
- the ability to conduct long-range planning.

(Note: WSS officials stated that "almost all of these turnovers are due to retirements and requested transfers." Our analysis of records and interviews with principals are not consistent with this statement.)

Principal Reporting Relationships. Under existing policy, each unit principal reports directly to the WSS regional administrator and superintendent on all matters pertaining to education and school operations. In addition, since each school operates within the prison setting, the principal is responsible to the unit warden on all issues pertaining to the security and operation of the correctional facility. In effect, a dual reporting structure exists.

On-site audits included interviews with the warden, security chief and principal designed to analyze the nature and effectiveness of the existing reporting structure. We found that in all units, the chain of command is clearly defined and understood by both TDCJ and the WSS administrators. An analysis of our survey results reveals that 97% of principals believe that there is a direct line of communication between the principal and the warden at each unit; 100% of the wardens concur.

Apart from the formal organizational relationship as defined in policy, interviews revealed an informal rule under which all principals operate: In any prison the warden is in charge, and all employees within the unit work for the warden.

In all units audited, wardens stated the importance of the educational mission, and expressed support for the principal and educational staff. However, a distinction was evident in the level of authority assigned to principals. In some units principals report directly to the warden and operate as members of the executive team. In other institutions, the principals function as department heads, reporting to an assistant warden and meeting periodically with the warden.

Special Leave Time. While on-site, we observed that some principals were granted extended leave when school was in session. In one case, the leave was granted the week after classes commenced following a two-week vacation. According to their contract, principals work 226 days per year and have set days off as defined by the WSS calendar. Administrators are entitled to compensatory time for working evenings, holidays, and normal time off from work. Nonetheless, we question the practice of regional administrators granting weeks of leave to principals when school is in session. When the principal is on leave, the guidance counselor or classroom teacher usually serves as the acting principal. In several cases, this practice has caused undue burden on existing unit staff who have full-time duties to perform daily.

Unit Performance. The only existing form of unit performance measures are contained in Campus Improvement Plans. The Campus Improvement Plans are unit-specific and are developed to convey the educational goals of the unit. For the most part, our analysis of these plans at each unit revealed:

- the goals and objectives in the Campus Improvement Plans are not stated in quantifiable terms;
- the degree of attainment of the goals and objectives is not being evaluated at most units;
- principals have not been held accountable by central and regional administrators for the successful accomplishment of each of the educational goals and objectives continued in the plan.

### School Management in the Private Units

Several concerns which we expressed about school management in the public units are more severe in the private units. For example:

- The annual turnover rate of principals in the four private units is 100%. In fact, the Kyle Unit had three principals in a 13-month period. Unlike the public units, a principal who leaves a private unit is not being transferred to another private unit by the corporate office; rather, the principal is terminating the system.
- The principals in CCA Units do not have a school budget and thus, little authority to ensure that instructional needs are met.
- As noted in section 5.2.2, there is little, if any, communication between the corporate office and private unit principals. The situation in Wackenhut is somewhat better in that the assistant warden for programs appears to be an influential education leader who communicates with the corporate office and WSS administrators.
- The private units are not required to complete campus improvement plans.

### *6.4.3 Recommendations*

- The TEA should clarify which aspects of school-based management the system is required to implement. Following clarification, the Windham Board should adopt a policy and accompanying procedure which defines school management in the WSS and clarifies the role and responsibilities of the school principal. Principals should be given the authority to administer such mundane tasks as the use of the copying machine and transfer of teachers from one program level to another (for example, Phase I to Phase II) provided the teacher has the required credentials for the new assignment.

- The current practice of frequently transferring principals, which has adversely affected school management in the WSS, should be curtailed. The arbitrary transfer of principals should be limited to five years or more, unless a principal resigns, is promoted, is terminated, or sufficient justification can be provided for the transfer.

- The WSS should revise its policy and procedure for granting leave to school principals. We suggest that compensatory leave be restricted to no more than three consecutive days when school is in session. We further recommend that the regional administrator or his/her designee in the regional office serve as the acting principal when leave is granted to the school principal.

- The WSS should improve the program of establishing annual educational performance goals for each school and hold school administrators responsible for meeting those goals. The principal's contract should specify that, when goals are consistently not met, the principal should be terminated or demoted. When the goals are exceeded, the school administrator and unit teachers should be rewarded with bonuses as a condition within their respective contracts.

- The WSS should implement plans to hold regional administrators and principals accountable for the performance of schools in their areas. When schools in an area consistently fall short of their goals, regional administrators should be demoted or terminated. This condition should be an integral part of the regional administrator's contract. Similarly, when the area schools consistently exceed their performance goals, the regional administrator should receive a bonus as a condition within his/her contract.

- The WSS should augment efforts to provide training for all school administrators.

- The campus improvement plans should be developed in quantifiable terms and assessed annually. TDCJ should require through the management contracts that the private units develop campus improvement plans, and the achievement of the goals and objectives of these plans should be assessed through the monitoring process.

- The principal and educational staff in each school should be fully integrated within the organizational structure of each prison unit, and the principal should operate as a member of the top management team, unless the unit designates an assistant warden for treatment or programs.

- Prior to the renewal of their contracts, both Wackenhut and CCA should be required to develop acceptable plans for alleviating the problem of principals frequently terminating their positions, and ensure TDCJ officials that the problem will be corrected.

- The TDCJ contract with private prisons should ensure that principals in the private units are given appropriate authority to run educational programs in these corrections facilities. They should be given budgets to operate within, supported, monitored, and held accountable for quality educational programs by the corporate headquarters office.

### *6.4.4 Financial Impact*

- A significant reduction in the transfer of principals among units will significantly increase each unit's effectiveness at no additional cost. Principals will be able to spend more time in their roles as building managers and instructional supervisors, and less on gaining knowledge of and familiarity with unit personnel, unit functions, and unique unit-specific administrative details.

- Although other recommendations in this section have no cost savings, they do improve efficiency and effectiveness of each of the education programs in the public and private prisons.

### *6.4.5 Implementation Strategies*

- With the increased supervision provided by regional administrators when they are physically housed in regional offices, we would anticipate no delay in the implementation of the recommendation that principal transfers among units be minimized.

- Training for school administrators should be provided by TEA, as well as all Education Service Centers throughout the state. Training should include methods for developing and evaluating campus improvement plans.

- The organizational realignment should enhance the priority of education within each unit, ensure that educational administrators have an equal voice in policy setting and decision-making governing the unit, and ensure a balance among competing concerns within the facility -- e.g., security, program, and administration.

- Once again, prior to award of the next contracts to Wackenhut and CCA, the TDCJ, in collaboration with the WSS administrators, should ensure that:
    - both corporations have taken effective measures to prevent frequent administrator turnover;
    - principals have been delegated the necessary authority to serve as instructional leaders and building managers at each unit.

# 7.0 FINDINGS AND RECOMMENDATIONS RELATED TO EDUCATIONAL DELIVERY

# 7.0 FINDINGS AND RECOMMENDATIONS RELATED TO EDUCATIONAL DELIVERY

## 7.1 Introduction

In this chapter, we examine the six key aspects of educational delivery in the WSS:

- the educational delivery system
- educational programs
- student assessments
- the program evaluation process
- student tracking and records
- student services

## 7.2 Educational Delivery System

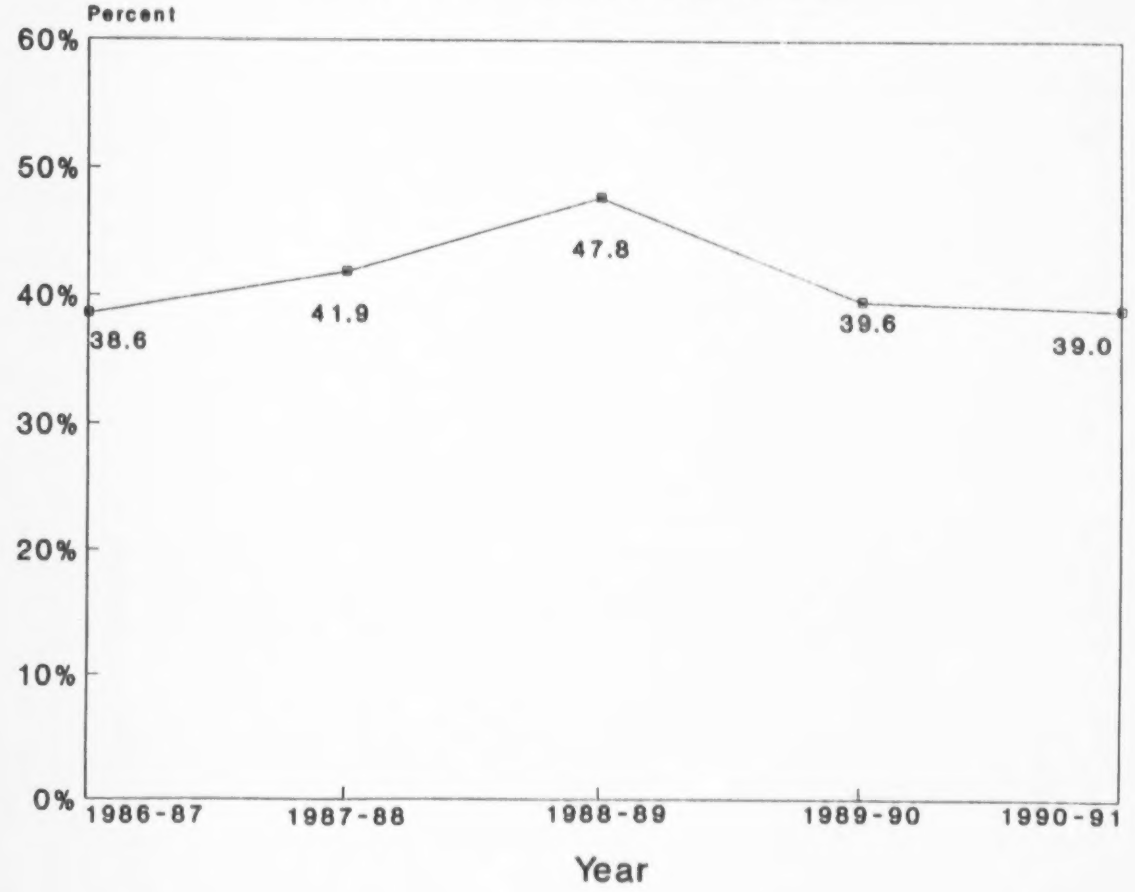
### 7.2.1 Current Situation

All education delivered by the WSS occurs within 36 schools in prison units that are operated by the TDCJ-ID. Nearly all inmates receive WSS instructional services within the prison units in which they reside; with a few exceptions, inmates do not travel to any other locations for instruction. However, some WSS employees (such as librarians, counselors, and educational diagnosticians) may provide services to students at more than one prison unit.

The WSS educational delivery system has served about four to five out of every 10 inmates that have been in the state prison system during each of the past five years. As seen in exhibit 7-1, the percentage of inmates enrolled in WSS schools increased from 38.6% in the 1986-87 school year to 47.8% in the 1988-89 school year, then declined to 39.0% by the 1990-91 school year, the last full year for which statistics are available and frequently cited in this chapter.

## EXHIBIT 7-1

### PERCENTAGE OF INMATES ENROLLED IN WSS SCHOOLS BY YEAR (1986-87 to 1990-91 SCHOOL YEARS)



SOURCE: WSS Annual Performance Reports, 1986-87 through 1990-91 school years

The educational delivery system can easily be misunderstood if one does not distinguish between the number of inmates served by the WSS on a typical day and the number served over the course of the entire year. For example:

- As shown in exhibit 7-1, the WSS enrolled 39% of all (101,391) inmates who spent part or all of the 1990-91 school year in a TDCJ-ID prison.
- However, on a given day (e.g., 5/31/92) the WSS had 13,506 inmates enrolled in one or more educational programs, but that represented only 27% of the 49,314 population capacity of TDCJ-ID prisons.[1]

If all 51,909 beds in the TDCJ-ID were filled, the WSS presently would have the school facilities needed to serve 36.7% of these inmates (see exhibit 7-2 and our more detailed discussion in chapter 11). However, as seen in exhibit 7-2, the capacity for educational delivery varies greatly among the various prison units:

- Overall student capacity as a percentage of bed number is:
    - less than 25% at 9 units
    - greater than 50% at six units
- Student capacity in academic programs as a percentage of bed number is:
    - less than 20% at 9 units
    - greater than 40% at six units
- Student capacity in vocational programs as a percentage of bed number is:
    - less than 10% at 24 units
    - greater than 15% at only three units

---

[1] Population capacity is defined as 95% of the number of beds in all prison units (0.95 x 51,909 beds = 49,314 population capacity.)

## EXHIBIT 7-2

## COMPARISON OF STUDENT CAPACITY PER PRISON BED BY UNIT, 1992

| [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] |
|---|---|---|---|---|---|---|---|
| Beto I & Beto I - Special | 3,200 | 2,007 | 332 | 2,340 | 62.7% | 10.4% | 73.1% |
| Beto II | 1,032 | 333 | 112 | 444 | 32.2% | 10.8% | 43.1% |
| Briscoe | 1,000 | 321 | 84 | 404 | 32.1% | 8.4% | 40.4% |
| Central | 904 | 454 | 106 | 560 | 50.2% | 11.7% | 61.9% |
| Clemens | 1,051 | 535 | 168 | 703 | 50.9% | 15.9% | 66.9% |
| Clements | 2,250 | 331 | 195 | 526 | 14.7% | 8.7% | 23.4% |
| Coffield | 3,200 | 596 | 215 | 811 | 18.6% | 6.7% | 25.4% |
| Daniel | 1,000 | 343 | 84 | 427 | 34.3% | 8.4% | 42.7% |
| Darrington | 1,810 | 467 | 140 | 606 | 25.8% | 7.7% | 33.5% |
| Eastham | 2,250 | 276 | 196 | 472 | 12.3% | 8.7% | 21.0% |
| Ellis I | 1,981 | 282 | 131 | 413 | 14.2% | 6.6% | 20.9% |
| Ellis II | 2,397 | 592 | 237 | 829 | 24.7% | 9.9% | 34.6% |
| Ferguson | 2,300 | 570 | 307 | 877 | 24.8% | 13.4% | 38.1% |
| Gatesville | 1,706 | 908 | 179 | 1,086 | 53.2% | 10.5% | 63.7% |
| Goree | 1,191 | 120 | 0 | 120 | 10.1% | 0.0% | 10.1% |
| Hightower | 1,000 | 343 | 84 | 427 | 34.3% | 8.4% | 42.7% |
| Hilltop | 941 | 458 | 0 | 458 | 48.7% | 0.0% | 48.7% |
| Hobby | 1,000 | 343 | 84 | 427 | 34.3% | 8.4% | 42.7% |
| Hughes | 2,250 | 420 | 168 | 587 | 18.7% | 7.4% | 26.1% |
| Huntsville | 1,554 | 346 | 28 | 374 | 22.3% | 1.8% | 24.1% |
| Jester I | 701 | 156 | 0 | 156 | 22.3% | 0.0% | 22.3% |
| Jester II | 701 | 86 | 0 | 86 | 12.3% | 0.0% | 12.3% |
| Jester III | 1,018 | 280 | 168 | 448 | 27.5% | 16.5% | 44.0% |
| Lewis (Prototype) | 1,000 | 343 | 84 | 427 | 34.3% | 8.4% | 42.7% |
| Michael (Prototype) | 2,450 | 372 | 195 | 567 | 15.2% | 8.0% | 23.2% |
| Mt. View | 853 | 318 | 161 | 479 | 37.3% | 18.8% | 56.1% |
| Pack I | 1,039 | 285 | 84 | 369 | 27.4% | 8.1% | 35.5% |
| Pack II | 1,282 | 350 | 168 | 517 | 27.3% | 13.1% | 40.3% |
| Ramsey I | 1,600 | 454 | 112 | 566 | 28.4% | 7.0% | 35.3% |
| Ramsey II | 1,050 | 321 | 56 | 377 | 30.6% | 5.3% | 35.9% |
| Ramsey III | 1,200 | 381 | 140 | 521 | 31.8% | 11.6% | 43.4% |
| Retrieve | 970 | 328 | 56 | 384 | 33.8% | 5.8% | 39.5% |
| Roach | 1,000 | 321 | 84 | 404 | 32.1% | 8.4% | 40.4% |
| Skyview | 528 | 251 | 54 | 306 | 47.6% | 10.3% | 57.9% |
| Wynne | 2,500 | 418 | 162 | 580 | 16.7% | 6.5% | 23.2% |
| [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] |

a) Based on 45 hours of classroom use per week, 85% utilization of student stations, an average class attendance of 27.4 hours per student per week, and 20 square feet per academic student station (varies for each vocational program).

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### *7.2.2 Findings*

Types of Educational Delivery

Two very different types of educational delivery occur within prison units:

1. The In-Cell Study Program was developed and implemented in the 1984-85 school year to meet court mandates for providing education programs to inmates confined to administrative segregation. TDCJ-ID uses the administrative segregation classification as a housing designation for inmates who remain confined in their cells for disciplinary reasons, or certain other special management requirements. The In-Cell Study Program comprises a very small proportion (about 7%) of WSS' total educational delivery system. Figures provided to us by the WSS showed that 1,004 inmates were being served through the In-Cell Study Program on a single day sample compared to 13,506 students being served through the in-school programs.

2. In-School Programs have been delivered by the WSS since 1969 in the prisons' educational facilities. Unlike the In-Cell Study Program, which involves only academic coursework, in-school programs include both academic and vocational courses as described later in section 6.3. For the 1990-91 school year, the WSS Annual Performance Report showed that 39,555 of the 101,391 inmates who were confined to TDCJ-ID facilities for any part of 1990-91 school year (i.e., 39%), participated in some WSS in-school programs.

This report focuses primarily on the second type of educational delivery system (i.e., in-school programs) because the In-Cell Study Program involves only one hour or less per day of one teacher's professional time at each prison unit. The in-school programs, on the other hand, involve nearly all of the approximately 740 professional staff in WSS schools and account for most of the WSS budget. We do believe it is important, however to point out that the approximately 1,000 inmates involved daily in the In-Cell Study Program receive minimal services from the WSS. For example:

- there is no centralized coordination of the program or assessment of its effectiveness;

- there are no special workbooks used for program participants, nor do they have access to computer-assisted instruction.

## Types of Students

As noted earlier, WSS schools delivered educational services to 39% of the TDCJ-ID prison population last year. The educational delivery system serves two distinct categories of inmates:

1. Mandatory Students. Inmates with Educational Achievement (E.A.) scores of less than 6.0 on the Test of Adult Basic Education (TABE) who have not graduated from an accredited high school or who have not completed the GED are required to attend the basic academic program for at least 15 hours per week.
2. Voluntary Students. Inmates with E.A. scores of 6.0 or higher who do not have a high school diploma are allowed to attend classes in the academic and/or vocational program on a voluntary basis for at least 15 hours per week. However, participation in the WSS vocational programs requires that inmates be concurrently enrolled in the WSS academic program if they have not completed the GED. Short-term inmates and inmates nearing release are encouraged to participate in life skills training which the WSS offers in either a pre-release or social and civics skills class.

To be eligible for WSS in-school programs, both mandatory and voluntary students also are required to be classified as Line Class II or higher (excluding inmates in administrative segregation). The Line Class II designation is one of seven levels within the Department's classification system which determine the rate at which an inmate may earn good conduct time credits. TDCJ-ID administrative directive AD-7.02 states that inmates may not be excused from or denied participation in WSS in-school programs because of their job assignments or period of time on the prison unit prior to school enrollment.

We requested and WSS performed a special analysis of initial E.A. tests that were administered to inmates between September 1991 and August 1992. From this analysis we found that:

- 42.5% of all inmates scored below 6.0 on their initial E.A. test (34,266 inmates tested)

- 31.7% of the 6,023 inmates who had a high school diploma scored below 6.0. These 1,912 inmates, despite their very low levels of academic performance, were ineligible for WSS programs because they held a high school diploma.

- 14.5% of the 6,848 inmates who had their GED scored below 6.0. These 990 inmates, despite their very low levels of academic performance are not required to attend WSS classes but may do so on a voluntary basis.

### Similarities and Differences With Other School Districts

The WSS was the first comprehensive educational system in the nation to be established within statewide prisons using the public school district model. The WSS educational delivery system now has several characteristics in common with other public independent school districts (ISDs) in Texas. For example:

- faculty and administrators in the WSS and in ISDs have similar professional certification requirements;

- the state's Foundation School Program provides financial resources to the WSS and to the ISDs (although the formulas are different);

- like the ISDs, the WSS receives its accreditation from the TEA. The school also receives accreditation from the Southern Association of Colleges and Schools (SACS);

- most education is delivered five days per week in a classroom or laboratory setting in a school where faculty and staff are supervised by a principal.

However, the WSS educational delivery system has some major dissimilarities from ISDs:

- Although several Texas ISDs operate at least as many schools as the WSS does, the WSS schools are uniquely dispersed throughout the entire state rather than in a single city or county. This statewide dispersion of schools presents unique challenges to the WSS educational delivery system.

- Educational delivery in ISDs is geared almost entirely to children and adolescents, whereas the WSS delivers its educational and vocational programs to adult learners.

- Educational delivery in the WSS schools is conducted in facilities (i.e., prisons) that restrict the incoming and outgoing flow of people and material objects to an almost incomparably greater extent than in ISD schools.

- Although the TEA (through its Academic Excellence Indicator System), annually monitors the outcomes of the educational delivery systems of ISDs and provides a wide variety of data that can be used to compare educational delivery in the ISDs, the WSS is not included in TEA's annual monitoring and comparison initiatives.

- ISDs normally deliver instruction in a single shift in which teachers are in school between 8:00 a.m. and 4:00 p.m. WSS schools operate a variety of shifts, some of which require teachers to begin work in their classrooms as early as 4:30 a.m. or end classroom work as late as 10:00 p.m. The multiple shifts are the result of efforts to maximize the use of existing classroom space to meet the educational needs at some prison units, as well as to accommodate work assignments.

- Unlike most students in ISD schools who have about six hours of classroom instruction daily, WSS students vary considerably in the amount of time they spend in the classroom each day, depending on the number of different programs in which they are enrolled. Three, six, or nine hours per day in the classroom are the most common arrangements for students, but some inmates are in class for up to 12 hours per day.

- ISD schools typically schedule classes to last about one hour each. In the WSS, classes are normally scheduled to last three hours. Some WSS teachers, principals, and students complained to us that three-hour classes were too long.

- Although the majority of ISDs have most of their students out of school during most of the summer, WSS operates on a 12-month basis with instructional breaks lasting no more than two weeks at a time.

- Unlike ISDs, which experience their largest turnover of students at the beginning of the school year, a relatively steady stream of inmates enter and leave WSS schools each day. Therefore, the WSS educational delivery system must accommodate a steady flux of inmates who last year spent an average of only 259 hours in WSS classrooms, compared to about 1,000 classroom hours for the average public high school student.

- Most ISD teachers (especially those in secondary schools) teach for five hours per day, whereas WSS teachers spend six hours per day in the classroom with students.

- In most secondary schools in ISDs, students spend about an hour per day in five to seven different teachers' classrooms. Most WSS academic class arrangements are self-contained, with inmates spending their entire school day with only one or two teachers.

## Similarities and Differences Between Educational Delivery Systems in the WSS and in the Private Units

We found the following major similarities in educational delivery systems at WSS and privately-managed prison units:

- Both systems deliver most instruction in a classroom or laboratory setting five days per week on a 12-month calendar.
- Both systems have their academic instruction divided into three levels based upon students' educational achievement levels as measured by the TABE.
- In addition to the regular academic program, both systems have vocational, ESL, special education, and life skills programs.

We found the following major differences in educational delivery systems at WSS and privately-managed prison units:

- Unlike the WSS, one of the private contractors (Wackenhut) makes extensive use of subcontractors for educational delivery. Wackenhut has one subcontractor, Microcomputer Technology Institute (MTI), responsible for vocational program delivery and another subcontractor, American Preparatory Institute (API), responsible for providing the academic curriculum and training academic teachers to use it.
- Prior to this year, MTI provided both the academic and vocational program delivery at the two units privately managed by CCA (Cleveland and Venus). Presently, CCA manages all educational delivery at its two units.

- There are 23 more instructional days per year at the schools in the private units managed by Wackenhut than at schools in private units managed by CCA or in the public units managed by the WSS:
  - 233 instructional days per year at Wackenhut units;
  - 210 instructional days per year at CCA units and WSS units.
- Unlike some WSS units that operate double shifts and have some classes scheduled to begin as early as 4:30 a.m. or end as late as 10:00 p.m., the private units operate on a 8:00 a.m. to 5:00 p.m. schedule. Some inmates at the public units that operated double shifts complained to us that their performances in class and in test situations were hampered by the unusually early hours at which they were expected to be in school. Comparable student performance data were not available to assess whether student achievement was better at the WSS units or at the private units.
- With the exception of the Kyle Unit which has recently purchased a variety of computer-assisted instructional (CAI) materials through a grant from the Texas Commission on Alcohol and Drug Abuse, the private units lag behind the WSS units in terms of CAI. Unlike the private units, the WSS units have CAI labs which students regularly use to supplement the instruction they receive from their academic teachers (also see chapter 10).
- The WSS offers a much larger variety of vocational education programs than are found at the private units. WSS vocational programs include many that require more expensive equipment and supplies than needed in the programs provided in the private units.
- Unlike five WSS units, none of the private units have a Chapter I Federal Compensatory Education Program.
- To a much greater extent than found in the WSS units, the private units managed by Wackenhut integrate and coordinate inmates' educational programs with other treatment programs in which they are involved in these pre-release units.

## Extent of Prison Education Delivery

- As shown previously in exhibit 2-4, the Texas correctional education delivery system has grown dramatically in recent years. Five years ago, the WSS operated 26 schools; today it operates 36 schools.

- Four additional schools are run by two private corporations that have contracted with the TDCJ-ID to operate and manage prison units:

    - Corrections Corporation of America (CCA) has schools in the two units it operates: Cleveland and Venus

    - Wackenhut Corrections Corporation has schools in the two units it operates: Bridgeport and Kyle.

  The contracts require CCA and Wackenhut to "... provide the full range of educational services to meet the needs of all inmates, comparable to those educational services provided by Windham School System for TDCJ-ID or as set forth in the approved Operational Plan".

- Each of the four private units houses 500 inmates who are within two years of being released. The average size of public units is about 1,400 beds, and most public units have over 1,000 beds. Therefore, educational delivery is a much larger endeavor in most public units than it is in any of the private units.

- Although all WSS schools offered academic programs and nearly all units offered vocational programs in the 1990-91 school year, most units did not have a Chapter I program and some units did not have special education and/or ESL and/or pre-release programs (See exhibit 7-3).

- Our survey of a random sample of all inmates in the TDCJ-ID units revealed a high demand for WSS classes:

    - about 70% of the inmates who are not presently in WSS classes want to be in classes.

    - only 8% of the inmates who are presently in WSS classes do not want to be in these classes.

    - when asked to write suggestions for improving prison schools, the most frequent response from inmates (19%) was to increase access to classes.

## EXHIBIT 7-3

## WSS EDUCATION PROGRAM PARTICIPATION BY UNIT
## 1990-91

| | NUMBER OF INMATES PARTICIPATING IN PROGRAMS | | | | | | |
|---|---|---|---|---|---|---|---|
| UNIT | BASIC ACADEMIC | SPECIAL EDUCATION | ESL | CHAPTER 1 | PRE-RELEASE | VOCATIONAL EDUCATION | NUMBER OF VOCATIONAL PROGRAMS |
| BETO I | 2,107 | 135 | 98 | 361 | 396 | 410 | 7 |
| BETO I SPECIAL | 930 | 311 | NP | 47 | 112 | 222 | 7 |
| BETO II | 777 | 50 | 26 | NP | 476 | 354 | 4+ |
| CENTRAL | 1,057 | NP | 200 | NP | 244 | 489 | 4+ |
| CLEMENS | 1,092 | 70 | 34 | NP | 302 | 439 | 3+ |
| CLEMENTS | 1,061 | 151 | 41 | NP | NP | 498 | 8+ |
| COFFIELD | 1,540 | 76 | 77 | NP | 317 | 561 | 4+ |
| DANIEL | 755 | 31 | 72 | NP | 555 | 372 | 3 |
| DARRINGTON | 1,054 | 72 | 59 | NP | 189 | 200 | 3+ |
| EASTHAM | 976 | 91 | 75 | NP | 227 | 428 | 5+ |
| ELLIS I | 632 | 19 | 15 | NP | NP | 468 | 3+ |
| ELLIS II | 936 | 98 | 46 | NP | 372 | 586 | 8+ |
| FERGUSON | 1,290 | 54 | 110 | 85 | 447 | 941 | 10+ |
| GATESVILLE | 1,988 | 340 | NP | NP | 602 | 722 | 5+ |
| GOREE | 294 | NP | NP | NP | NP | NP | NP |
| HIGHTOWER | 1,234 | 59 | 133 | NP | 808 | 590 | 3 |
| HILLTOP | 1,829 | 106 | NP | 749 | 273 | 419 | 4+ |
| HOBBY | 1,469 | 58 | NP | NP | 462 | 693 | 3+ |
| HUGHES | 732 | 47 | 84 | NP | NP | 411 | 7 |
| HUNTSVILLE | 958 | 42 | 115 | NP | 121 | 150 | 1+ |
| JESTER I & II | 1,214 | NP | NP | 160 | 1,002 | 164 | NP |
| JESTER III | 1,178 | 39 | 70 | NP | 365 | 550 | 5+ |
| LEWIS | 1,186 | 46 | 110 | NP | 842 | 301 | 3 |
| MICHAEL | 1,032 | 56 | NP | NP | 84 | 507 | 6+ |
| MOUNTAIN VIEW | 361 | 53 | 47 | NP | NP | 336 | 4+ |
| PACK I | 979 | 72 | 144 | NP | 547 | 482 | 3+ |
| PACK II | 1,137 | 37 | 107 | NP | 503 | 622 | 6+ |
| RAMSEY I | 947 | 60 | 73 | NP | 310 | 400 | 3+ |
| RAMSEY II | 424 | 38 | NP | NP | 69 | 121 | 1+ |
| RAMSEY III | 1,127 | 63 | 64 | NP | 467 | 557 | 4+ |
| RETRIEVE | 564 | 21 | NP | NP | 189 | 133 | 1 |
| SKYVIEW | 126 | 462 | NP | NP | NP | 348 | 3+ |
| WYNNE | 1,181 | 80 | 101 | NP | 170 | 465 | 5+ |
| TOTAL | 34,167 | 2,837 | 1,901 | 1,402 | 10,451 | 13,939 | 136 |
| AVERAGE | 1,035 | 95 | 47 | 280 | 387 | 436 | 4 |
| TOTAL SINGLE COUNT | 32,740 | 2,699 | 1,867 | 1,365 | 10,355 | 13,280 | |

SOURCE: WSS Annual Performance Report, 1990-91 school year.

NOTES: A plus sign (+) indicates that in addition to the number of vocational trade programs shown as offered by the unit, additional short-term vocational courses were offered.

NP indicates that no program was offered.

The total single count avoids counting an inmate twice if he/she participated in a program at more than one unit due to being transferred in the 1990-91 school year.

Averages exclude units with NP.

Inmate participation includes those enrolled for any portion of the school year.

## General Satisfaction With the Educational Delivery System

- During our site visits to schools in prison units, we asked principals to identify any weaknesses in the educational delivery system. With the exception of the obvious challenges presented in operating a school system that has facilities dispersed through the entire state, no other single weakness in the system was mentioned frequently by principals.

- Our surveys revealed that only 15% of the wardens and 12% of the faculty at WSS schools did not believe that the educational delivery system was reaching those inmates who would benefit most from these services.

- Our surveys of employers who had hired former inmates found that nearly all of these employers (91%) believe that the state's prison school system should be focusing its education efforts on teaching inmates both basic academic skills and vocational skills, which is what the WSS is presently doing.

### *7.2.3 Recommendations*

- Most of our recommendations for improving the educational delivery system of the WSS are directly related to issues regarding WSS school facilities. We refer the reader to our recommendations for facilities in chapter 10 of this report.

- We recommend that the Legislature repeal the mandate that all inmates without a high school diploma who score less than the sixth grade level on literacy tests be enrolled in classes. Instead, we recommend that TDCJ and Windham carefully target its educational programs toward those inmates who are most likely to utilize their educational experience to obtain gainful employment in the free world and not return to prison upon release.

- Policies regarding inmates in administrative segregation should be revised. Inmates in administrative segregation who have less than a 6.0 score on a standardized achievement test should not be mandatory students (served by the In-Cell Study Program). Instead, the program should provided only to those administratively segregated inmates who request it. To facilitate improved delivery of the In-Cell Study Program, we suggest that participating inmates should be housed in the same cell block(s) at their respective units.

- To improve the potential effectiveness of the educational delivery system, we recommend that:
  - WSS reschedule all classes and testing that are now conducted before 7:00 a.m. to begin at or after 7:00 a.m.
  - WSS experiment with a variety of class lengths to determine the most efficient and effective class length for each program.

## *7.3 Educational Programs*

### *7.3.1 Current Situation*

As seen in Section 8.0 of the WSS Policies and Procedures Manual, the WSS manages pre-college level academic and vocational programs for eligible inmates. Pursuant to Chapter 29, Section 29.02 of the Texas Education Code, inmates who have a high school diploma are ineligible to participate in WSS educational programs. College-level academic and vocational programs are administered by, but not provided by WSS. However, college-level classes make use of the WSS classroom facilities in some prison units.

The WSS contracts with 11 higher education institutions (7 colleges; 4 community colleges) to deliver and manage college-level courses and programs. For the 1990-91 school year, the TDCJ-ID reported the following degrees and certificates awarded through its Continuing Education Division:

- 181 inmates received associate degrees from junior colleges;
- 30 inmates received baccalaureate degrees;
- 4 inmates received master's degrees;
- 1,229 inmates received college vocational certificates;
- 59 inmates received journeyman certificates;
- 200 inmates received Texas A & M University Extension certificates.

For one recent month (May 1992) TDCJ-ID reported that:

- 16,615 inmates participated in educational programs managed by the WSS;
- 4,704 inmates participated in continuing education (i.e., postsecondary) programs administered but not managed by the WSS.

The discussions that follow focus only on those pre-college educational programs which the WSS provides.

The TEA is required to conduct periodic (every five years) visits to school districts to determine whether they are in compliance with state and federal rules and regulations. TEA's last compliance monitoring visit to the WSS was in February 1988. TEA found the following discrepancies and required WSS to take corrective action on each of them.

1. ESL Program Discrepancies
   - A home language survey had not been administered to all students at some units.
   - None of the campuses had the required language proficiency assessment committee.
2. Vocational Education Program Discrepancies
   - The number of students enrolled in the vocational program at the Beto I and Beto I Special units exceeded the number of available training stations.
   - The vocational shop facilities for the Mentally Retarded Offender Program (MROP) students at the Beto I Special unit did not meet the same facility standards that were provided to students at other units.

The WSS initiated prompt corrective action to remedy the above discrepancies.

An August 1990 *Performance Audit Report of Windham Schools and Project RIO* by the Office of the State Auditor found that the WSS vocational program waiting list included 2,044 inmates as of April 30, 1990. WSS does not maintain a central waiting list, instead, each unit maintains its own waiting list and does not routinely report the waiting list statistics to the WSS central office.

We requested current vocational program waiting list statistics, and after contacting counselors at each unit, WSS provided the following waiting list statistics as of August 1992:

- 2,043 inmates were on the waiting list for vocational programs offered at their unit of residence;

- 1,317 inmates were on the waiting list for vocational programs offered at units other than the ones where they currently reside.

After visiting 35 WSS schools and the central office during a January 1992 accreditation visit, the Southern Association of Colleges and Schools (SACS) team issued their report which included the following statements:

- *The quality of the Windham instructional program is improved and stronger than it was five years ago.*
- *Computer-assisted instructional technology has improved, and the new labs are excellent.*
- *No problems were noted that should be brought to the attention of the Board.*

### *7.3.2 Findings*

Exemplary Programs

During the site visits to WSS schools, we identified several exemplary programs and practices for which we commend the WSS:

- With some exceptions (notably the ESL program and the science curriculum area), the curriculum guides for both academic and vocational programs are comprehensive, up-to-date, and highly useful to WSS teachers.
- The WSS system for tracking student progress through their academic and vocational programs by using student progress records and student skills records provide an exemplary practice of ensuring that a uniform curriculum is provided to students who undergo frequent transfers between prison unit schools. The process, however, should use computer technology (see chapter 10).
- We found that academic and vocational programs at all units we visited were generally very well organized and delivered. We did note that some programs were considered exemplary by several of the faculty on some campuses. These programs included:
  - the truck driving and horticulture vocational programs at the Central Unit

  - the unique special education classes for ESL students in vocational education at the Ramsey I Unit

  - the daily use of computer-assisted instruction for ESL students at the Coffield Unit

Additionally, we cite two unique programs that should be included among any mention of exemplary programs:

- the New Vision Chemical Dependency Treatment Unit at Kyle (run by Wackenhut Corporation). This private unit has begun to offer a computerized learning systems network in the residents' living areas and also has begun to provide residential teaching aides who provide assistance to inmates in their living areas in addition to the normal classroom setting. This unique program is partially funded through a grant from the Texas Commission of Alcohol and Drug Abuse.

- the Reading to Reduce Recidivism (3R) Program ended on August 31, 1991 after 19 months of pilot program operation in the WSS. According to the Criminal Justice Policy Council that evaluated this pilot program, preliminary information indicated that participants had a lower recidivism rate than non-participants or those who dropped out of the program.

### Academic Programs

The WSS 1990-91 Annual Performance Report describes five types of programs that the WSS delivers:

- The basic academic program provides students with basic skills in communications, mathematics, science, and social science. Each discipline is divided into three phases based on the difficulty level of the essential concept and skills to be learned:

  - Phase I is mostly elementary work (typically associated with that learned in grades 1-3 in the public schools)

  - Phase II concepts and skills are of intermediate difficulty (typically associated with grades 4-6)

  - Phase III has the most advanced concepts and skills (like that found in grades 7-9)

  During the 1990-91 school year, 32,740 inmates participated in one or more of the above three phases. Instruction in these phases helps inmates to prepare to earn the General Education Development

(GED) certificate, which is the equivalent of a high school diploma. Inmates must pass the GED examination to earn the certificate. (See section 6.4 for details about GED testing.)

The basic academic program is competency-based in that individual student needs determine the instructional plan. Mastery of educational objectives, rather than grades or time spent in schools, is the standard of success. Students are placed into the instructional process (Phase I, II, or III) based on diagnostic information.

WSS teachers use a Student Progress Record (SPR) to track each student's progress related to instruction and mastery of objectives specified for each subject area within each phase of the basic academic program.

- The special education program identifies and provides special academic education to inmates that have handicapping conditions. During 1990-91, 2,699 participated in special education classes due to having one or more of the following physically disabled conditions:
  - learning disabilities (67%)
  - emotionally disturbed (psychiatric 21%)
  - mentally retarded (9%)
  - all other conditions (3%)
- The ESL (English as a Second Language) program provides English communication skills to inmates who have limited or no ability to speak, read, or write in English. During 1990-91, 1,867 inmates participated in ESL classes. WSS officials reported to us that all students with limited English proficiency are being served by the ESL program.
- The Chapter I program provides remedial instruction for eligible inmates under the age of 21 who are classified as neglected and delinquent. During 1990-91, 1,365 inmates participated in Chapter I classes. WSS officials reported to us that the number of inmates who are eligible for the Chapter I program but are not being served is unknown. The Pack II Unit was identified as having the largest population of Chapter I eligible students who are not being served.
- The pre-release program provides inmates who are eligible to be WSS students and who are within one year of release from prison with a 72-hour "life skills" course that develops their knowledge and skills in areas such as self assessment, decision-making, employment, money management, and civil rights and responsibilities. During the 1990-91 school year, 10,355 inmates learned "life skills" in either a pre-release or social and civics (S&C) classroom.

Exhibit 7-4 shows the growth in the number of inmates who participated in WSS academic programs over the five-year period from 1986-87 to 1990-91. As seen in the exhibit, all programs except Chapter I (which is limited to inmates under 21 years of age), had increased in numbers of participants dramatically during the five-year period.

### EXHIBIT 7-4

### FIVE-YEAR GROWTH IN ACADEMIC PROGRAM PARTICIPATION 1986-87 TO 1990-91 SCHOOL YEARS

| PROGRAM | 1986-87 | 1987-88 | 1988-89 | 1989-90 | 1990-91 | 5 YR INCREASE |
|---|---|---|---|---|---|---|
| Basic Academic | 20,612 | 25,575 | 26,780 | 32,031 | 32,740 | 59% |
| Special Education | 1,766 | 1,832 | 1,966 | 2,346 | 2,699 | 53% |
| Chapter I (Federal Compensatory Education) | 1,268 | 1,472 | 1,319 | 1,524 | 1,365 | 8% |
| Pre-Release | 4,715 | 5,070 | 6,086 | 8,656 | 10,355 | 120% |
| ESL/Bilingual | 1,221 | 1,220 | 1,292 | 1,582 | 1,867 | 53% |
| TOTAL DUPLICATED COUNT | 29,582 | 35,169 | 37,443 | 46,139 | 49,026 | 66% |

NOTES:

Chapter I students must participate in academic programs to be enrolled in Chapter I. Therefore, these hours are not reflective of the total participation for these students, but rather for their Chapter I time only.

Participants by program are not additive to a total single count enrollment because inmates may participate in more than one program during a school year.

SOURCE: Annual Performance Reports, Windham School System, 1986-87 to 1990-91 school years.

Our on-site reviews of academic programs in schools and the support they receive from the WSS central office revealed that:

- Extensive curriculum guides, instructional materials and supplies were provided to, and being used by WSS teachers for the basic academic program, the special education program, and the pre-release program.

- Of the 4,158 students enrolled in Phase III classes on July 1, 1992, 879 (21%) had already earned their GED. Students with GEDs are allowed to remain in academic classes if their E.A. scores have not yet qualified for enrollment in college-level classes.
- Although WSS special education students are predominantly learning disabled, we found that students with all types of handicapping conditions were being well served. Exhibits 7-5 and 7-6 present statistics on the variety of special education students served and the recent surge in their participation in vocational programs.

EXHIBIT 7-5

SPECIAL EDUCATION STUDENTS SERVED BY DISABILITY
1984-85 TO 1990-91 SCHOOL YEARS

| CONDITION | 1984-85 | 1985-86 | 1986-87 | 1987-88 | 1988-89 | 1989-90 | 1990-91 |
|---|---|---|---|---|---|---|---|
| Learning Disabled | 1,644 | 1,444 | 1,439 | 1,484 | 1,633 | 1,789 | 1,885 |
| Mentally Retarded | 308 | 303 | 328 | 303 | 234 | 244 | 243 |
| Emotionally Disturbed | 73 | 57 | 51 | 33 | 20 | 16 | 12 |
| Visually Handicapped | 15 | 15 | 12 | 14 | 21 | 14 | 12 |
| Hearing Impaired | 8 | 6 | 7 | 6 | 9 | 16 | 18 |
| Other Health Impaired | 1 | 3 | 1 | 23 | 188 | 384 | 597 |
| Speech Handicapped | 0 | 2 | 0 | 4 | 5 | 7 | 1 |
| Orthopedically Handicapped | 0 | 0 | 0 | 0 | 0 | 1 | 1 |
| Deaf/Blind | 0 | 0 | 1 | 0 | 0 | 0 | 0 |
| Total | 2,049 | 1,830 | 1,839 | 1,867 | 2,110 | 2,471 | 2,769 |

SOURCE: WSS Annual Performance Reports, 1984-85 to 1990-91 school years.

## EXHIBIT 7-6

## DISABLED STUDENTS RECEIVING VOCATIONAL TRAINING 1984-85 TO 1990-91 SCHOOL YEARS

| VOCATIONAL PROGRAM | 1984-85 | 1985-86 | 1986-87 | 1987-88 | 1988-89 | 1989-90 | 1990-91 |
|---|---|---|---|---|---|---|---|
| Vocational Educ. Program Regular | 198 | 219 | 178 | 162 | 143 | 172 | 501 |
| Vocational Educ. Program Coordinated Vocational Academic Ed (CVAE) | 29 | 14 | 117 | 75 | 54 | 130 | 136 |
| Vocational Educ. for the Handicapped (VEH) | 0 | 0 | 0 | 0 | 120 | 141 | 224 |
| TOTAL | 227 | [illegible] | 295 | 237 | 317 | 443 | 861 |

SOURCE: WSS Annual Performance Reports, 1984-85 to 1990-91 school years.

- Academic programs for some populations (i.e., Chapter I, ESL) are still in a developmental stage at WSS. Curricular materials and support from the central office for programs for these populations has not evolved to the extent seen in other programs. For example:
  - An ESL curriculum handbook did not exist but was under development at the time of our review.
  - Only five campuses have Chapter I programs though others (e.g., Pack II, Central) have many inmates under the age of 21 who would be eligible for this federally-funded program, but are not served due to a view that sufficient classroom facilities are not available.
  - Technical support for ESL and Chapter I programs comes only from the central office staff rather than from both regional and central office staff, as provided for other programs.

### Vocational Programs

The WSS 1990-91 Annual Performance Report describes five types of vocational programs offered in 44 trade areas that the WSS delivers:

1. Short courses are 45 to 90-hour classes designed for inmates with proximate release dates to meet a specific occupational need as identified by WSS.

2. Cluster courses are made up of several 150-hour clusters but the number of clusters varies.

3. Regular courses are divided into four 150-hour segments for a total of 600 hours.

4. Coordinated vocational academic education (CVAE) courses are like regular courses, but generally have only three 150-hour segments. CVAE students participate in related academic studies while enrolled in vocational classes.

5. Cooperative training classes vary from 450 to 600 hours in length. They are specifically designed for students who already have a prison job assignment that is a TEA-approved training area. Students in cooperative training perform the skills outlined in their training plans on the job and study the related theory in cooperative training classrooms.

Although WSS reports do not provide enrollment statistics for each of the above five types of vocational programs, the 1990-91 Annual Performance Report states that the 13,280 inmates enrolled in vocational classes last year were distributed as follows:

- 2,084 (16%) were enrolled in vocational short courses (Type 1 above);
- 11,196 (84%) were enrolled in full length vocational training programs (Types 2 to 5 above).

Exhibit 7-7 shows the 115% growth in the number of inmates who participated in WSS vocational programs over the five-year period from 1986-87 to 1990-91.

## EXHIBIT 7-7

## FIVE-YEAR GROWTH IN VOCATIONAL PROGRAM PARTICIPATION

| VOCATIONAL PROGRAM | 1986-87 | 1987-88 | 1988-89 | 1989-90 | 1990-91 | 5 YR INCREASE |
|---|---|---|---|---|---|---|
| Yearly Enrollment | 6,180 | 6,421 | 7,145 | 10,802 | 13,280 | 115% |
| Average Monthly Enrollment | 2,071 | 1,954 | 2,462 | 3,094 | 4,726 | 128% |
| Full Length Program Enrollment * | -- | -- | -- | 9,149 | 11,196 | -- |
| Short Course Enrollment * | -- | -- | -- | 1,653 | 2,084 | -- |

* Data only available for 1989-90 and 1990-91 school years.
SOURCE: Annual Performance Reports, Windham School System, 1986-87 to 1990-91 school years.

According to Section 8.02-6 of the WSS Policies and Procedures Manual, an inmate must meet the following minimum criteria to be considered for a vocational program offered by the WSS:

- may not be a graduate of an accredited high school;
- must not have received or completed all the requirements for a junior college or higher degree or completed the courses required for such degrees;
- should demonstrate appropriate interest and aptitude for the particular vocational trade;
- must meet minimum Educational Achievement (EA) requirements as established for the particular trade area requested (Waived for special education students upon recommendation of the Admission, Review, and Dismissal Committee.);
- must meet minimum requirements as established by the TDCJ-ID.

Exhibit 7-8 lists the 27 vocational short courses approved by the TEA and shows the WSS 1990-91 enrollment in each course. As seen in exhibit 7-8:

- WSS operated vocational short courses in 19 of 27 areas approved by TEA.
- Five short courses accounted for nearly two-thirds of the enrollments in short courses in 1990-91:
    - Understanding the Nature of Small Business (Entrepreneurship) had the largest relative participation representing 21% of all short course enrollments.
    - Computer Word Processing accounted for 12% of all short course enrollments.
    - Keyboarding accounted for another 12% of the short course enrollments.

- Short Order Cook had 10% of the short course enrollments.
- Building Electrical Maintenance had 8% of all the short course enrollments.

It should be noted that WSS did not have annual summaries of the total number of participants in its short vocational courses, and had to generate the participant data shown in exhibit 7-8 for us. The difference between the 3,068 total shown in exhibit 7-8 and the 2,084 figure cited in the Annual Performance Report could not be reconciled by WSS at the time of our review. Furthermore, WSS does not compile data to indicate the percentage of short course participants who actually complete the various short courses. Thus, no system-wide oversight of the short courses outcomes is provided by the WSS.

Exhibit 7-9 lists the 50 full-length vocational training programs that WSS planned to offer in 1992-93 and shows the 1990-91 enrollment figures in each program. As seen in exhibit 7-9:

- WSS operated 43 full-length vocational programs in 1990-91 and Plans to offer additional programs in the near future.
- The six programs that had the highest levels of inmate participation accounted for about 42% of the enrollment in all full-length vocational programs. The relative proportion of all program enrollments in these six programs was:
  - Auto Mechanics (10%)
  - Welding (9%)
  - Introduction to Construction Careers (8%)
  - CVAE Cooperative (5%)
  - Electrical Trades (5%)
  - Piping Trades/Plumbing (5%)

## EXHIBIT 7-8

## WSS ENROLLMENTS IN SHORT COURSES APPROVED BY THE TEA (1990-91)

| SHORT COURSE NAME | LENGTH IN HOURS | NUMBER OF PARTICIPANTS | NUMBER OF COMPLETERS |
|---|---|---|---|
| Auto Air Conditioning Service Technician | 90 | 69 | THIS STATISTIC IS NOT COMPILED BY WSS |
| Baker Helper | 60 | 14 | |
| Brake Repair | 75 | 178 | |
| Building Electrical Maintenance | 90 | 241 | |
| Cabinetmaking | 60 | 55 | |
| Computer Word Processing | 90 | 362 | |
| Construction Framing | 90 | 0 | |
| Diesel Service Technician | 90 | 0 | |
| Dry Wall Craftsman | 90 | 0 | |
| Furniture Repair and Refinishing | 60 | 46 | |
| Graphic Arts | 90 | 0 | |
| Horse Shoeing | 90 | 0 | |
| Hospital Cleaning | 60 | 32 | |
| Industrial Cleaning | 60 | 143 | |
| Keyboarding | 90 | 358 | |
| Landscape Maintenance | 75 | 81 | |
| Major Appliance Maintenance | 75 | 56 | |
| Painting and Wall Paper | 45 | 0 | |
| Plumbing Maintenance and Repair | 90 | 139 | |
| Retail Meat Cuts | 60 | 22 | |
| Sheetmetal Duct | 75 | 0 | |
| Shielded Metal Arc Welding | 90 | 176 | |
| Short Order Cook | 45 | 295 | |
| Small Engine Service | 75 | 102 | |
| Tire and Wheel Repair | 60 | 0 | |
| Understanding the Nature of Small Business (Entrepreneurship) | 90 | 657 | |
| Window Unit Air Conditiong | 90 | 42 | |
| TOTAL | | 3,068 | |

SOURCE: WSS Vocational Education Office

EXHIBIT 7-9

## WSS ENROLLMENTS IN FULL LENGTH VOCATIONAL TRAINING PROGRAMS (1990-91)

| PROGRAM NAME | NUMBER OF PARTICIPANTS | NUMBER OF COMPLETERS |
|---|---|---|
| Air Conditioning and Refrigeration | 211 | THIS STATISTIC IS NOT COMPILED BY WSS |
| Auto Collision Repair and Refinishing Tech | 56 | |
| Auto Specialization (Auto Mechanics) | 875 | |
| Auto Specialization (Auto Transmission) | 51 | |
| Auto Specialization (Radiator Repair) | 118 | |
| Auto Specialization (Automotive Electronics) | 0 | |
| Barbering | 71 | |
| Bricklaying/Stone Masonry | 216 | |
| Building Trades | 0 | |
| Business Computer Applications | 295 | |
| Commercial and Industrial Wiring | 0 | |
| Construction Carpentry | 320 | |
| Comprehensive Home Economics | 37 | |
| Culinary Arts | 63 | |
| CVAE Business Office Services | 66 | |
| CVAE Cooperative | 440 | |
| CVAE General Construction Trades | 21 | |
| CVAE Institutional Maintenance | 146 | |
| Dental Laboratory Aids | 55 | |
| Diesel Mechanics | 92 | |
| Drafting | 328 | |
| Electrical Trades | 461 | |
| Floriculture | 31 | |
| Graphic Arts | 128 | |
| Horticulture | 239 | |
| Hydraulics & Pneumatics (Controls Technology) | 0 | |
| Industrial Electronics (Circuit Board Repair) | 0 | |
| Industrial Equipment Repair | 43 | |
| Introduction to Construction Careers | 648 | |
| Machine Shop | 52 | |
| Machine Shop (Machine Tool Operations CAD/CAM) | 0 | |
| Maintenance Mechanics Building (Facility Care) | 310 | |
| Major Appliance Repair | 358 | |
| Meat Cutting | 82 | |
| Microcomputer Applications | 92 | |
| Mill and Cabinetmaking | 337 | |
| Office Support Systems | 109 | |
| Outdoor Power Equipment & Landscape Management | 0 | |
| Painting and Decorating (Wall and Floor) | 0 | |
| Piping Trades/Plumbing | 448 | |
| Principles of Technology | 42 | |
| Remodeling - Interior and Exterior | 0 | |
| Retail Merchandising | 34 | |
| Sheet Metal | 48 | |
| Small Engine Repair | 91 | |
| Small Engine Repair/Motorcycle | 0 | |
| Special Education General Construction Trades | 89 | |
| Special Education Horticulture | 90 | |
| Special Education Facility Care | 34 | |
| Truck Driving | 88 | |
| Vocational Electronics | 143 | |
| Wall & Floor Trades (Painting/Decorating) | 194 | |
| Welding | 787 | |
| TOTAL | 8,439 | |

SOURCE: WSS Vocational Education Office

It should be noted that WSS did not have annual summaries of the total number of participants in its full-length vocational programs and had to generate the participant data shown in exhibit 7-9. The difference between the 8,439 total shown in exhibit 7-9 and the 11,196 figure cited in the Annual Performance Report could not be reconciled by WSS at the time of our review. Furthermore, WSS does not compile data to indicate the percentage of program participants who complete the entire program. Thus, no system-wide oversight of the outcomes of full-length vocational programs is provided by the WSS.[2]

As noted earlier, compared to the WSS, the private units overall offer a much smaller selection of vocational programs and each of them is a full-length program. The programs offered by the two private contractors are:

- Corrections Corporation of America
    - Culinary Food Services
    - Business Computer Applications
    - Business Computer Programming
    - Refrigeration and Air Conditioning
- Wackenhut
    - Culinary Food Service
    - Basic Office Automation Technology
    - Spreadsheet Technology
    - Computer Systems Configuration Technician
    - Desktop Publishing

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[2] In 1992, the WSS vocational department attempted to follow-up on vocational program completers from 1989-90 who had been released from prison. Although the department sent brief surveys to 1,588 of these former inmates, only 62 (4%) returned completed surveys. This low response rate prevented any meaningful generalizations to be made about the employment status of the WSS vocational program completers. Most surveys sent to inmates were returned by the postal service due to inaccurate or insufficient current addresses.

Except for a general lack of instructional workbooks in vocational computer classes, we found that the curriculum guides, materials, supplies, and technical support for vocational programs at both the WSS schools and private unit schools were good. However, vocational labs at CCA units had problems with noise between adjoining labs that had a common corridor and partial walls that did not fully separate them.

### Job Market Analysis

Section 8.02-5 of the WSS Policies and Procedures Manual states that:

> *An advisory committee of individuals from Texas business and industry, appointed by the superintendent, serves to provide direction and assistance in establishing and maintaining appropriate vocational course offerings and curricula.*

The advisory committee is comprised of 12 individuals from all areas of the state. The committee meets twice each year.

We found that the WSS also relies on information obtained by TEA from sources such as the Texas State Occupational Information Coordinating Committee and the Texas Employment Commission to assess the job market and to determine which vocational programs should be offered to maximize the employment opportunities of inmates following their release from prison. TEA produces a listing of about 25 "priority occupations" that each have:

- at least 500 projected annual job openings;
- a positive occupational growth-to-replacement ratio;

- training times of over three months through four years;
- an average prevailing wage of at least $6.00 per hour.

We found that the vocational programs offered by Windham and at the privately-managed units prepared individuals for jobs on TEA's list of priority occupations. It should be noted, however, that one area with many job openings, the health care occupations, have few vocational programs in prison schools because of inmates' criminal records and frequent histories of substance abuse preclude them from employment in many health care professions.

### Differences in Program Enrollments

Exhibit 7-10 shows the class size and student contact hour requirements for the WSS. As seen in the exhibit:

- Academic classes must range in size from 16 to 22 inmates per class with the exception of special education classes which must have six to 14 inmates per class.
- Vocational classes must range in size from 12 to 20 inmates per class with the exception of those specifically for the handicapped (VEH) which must have 10 to 14 inmates per class.
- Requirements for average student contact hours per teacher per day vary by program type. The requirements are
  - 108 contact hours per teacher per day overall for academic programs excluding special education (18 students per teacher average x 6 hours per day = 108)
  - 48 contact hours per teacher per day for special education (8 students per teacher average x 6 hours per day = 48)
  - 84 contact hours per teacher per day overall for long-term vocational programs (14 students per teacher average x 6 hours per day = 84)
  - unspecified for short-term vocational programs.

EXHIBIT 7-10

### WINDHAM SCHOOL SYSTEM
### CLASS SIZE AND STUDENT CONTACT HOUR REQUIREMENTS

| CLASS TYPE | MIN - MAX ENROLLMENT | AVG PER TEACHER ADA | AVG REQUIRED STUDENT CONTACT HRS PER TEACHER PER DAY |
|---|---|---|---|
| ***Academic*** | | | |
| Phase I | 16-22 | Not Specified | Not Specified |
| Phase II | 18-25 | Not Specified | Not Specified |
| Phase III | 18-25 | Not Specified | Not Specified |
| ESL | 16-22 | Not Specified | Not Specified |
| Social & Civic | 18-25 | Not Specified | Not Specified |
| **OVERALL** | **16-25** | **18** | **108** |
| ***Special Education*** | 6-14 | 8 | 48 |
| ***Vocational*** | | | |
| Regular | 12-20 | Not Specified | Not Specified |
| VEH | 10-14 | Not Specified | Not Specified |
| CVA | 12-20 | Not Specified | Not Specified |
| **OVERALL** | **12-20** | **14** | **84** |
| ***Short-Term Vocational*** (Number required to start class) | 12-20 | Not Specified | Not Specified |

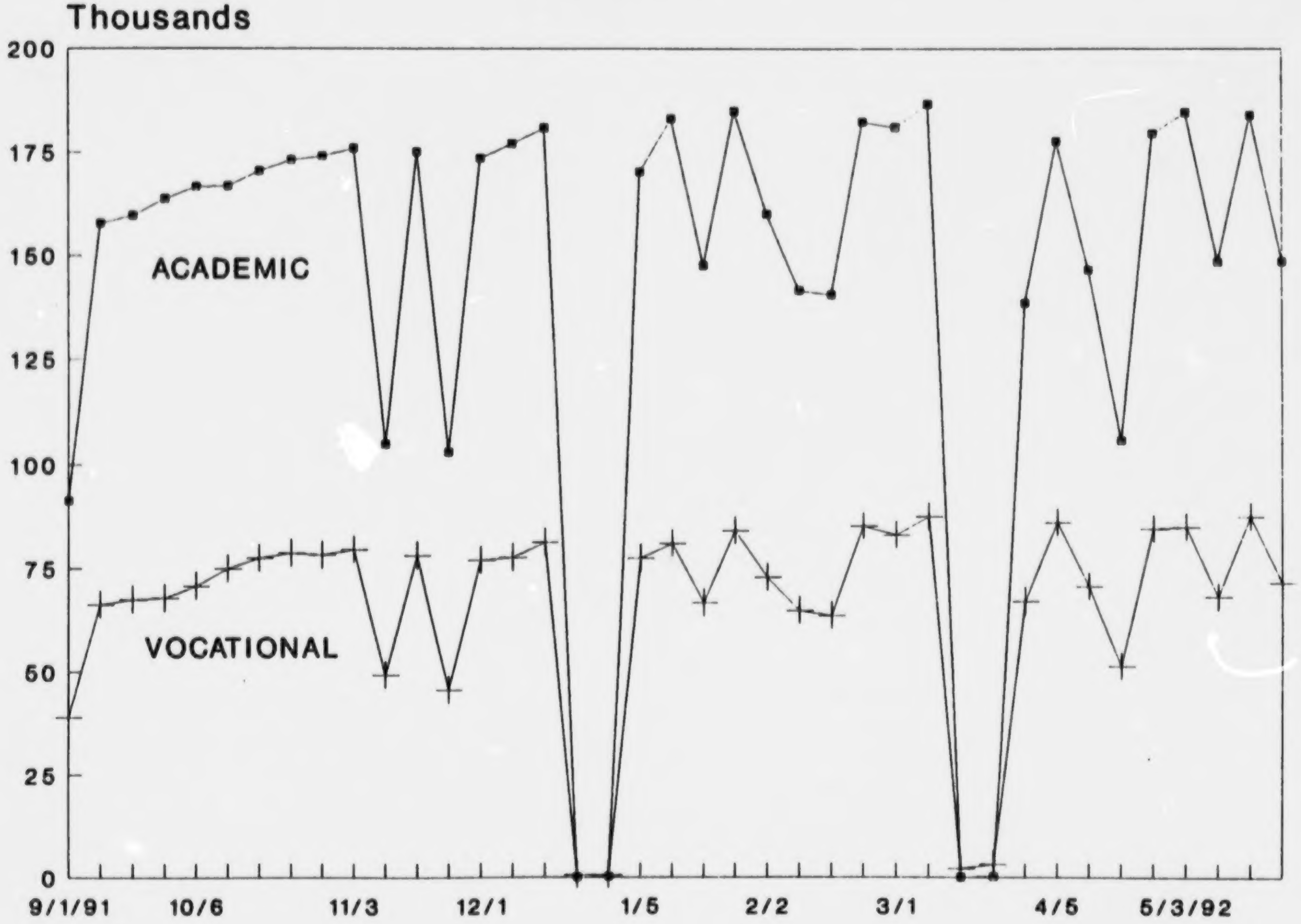
SOURCE: WSS Administrative Office, 1992

**Program Workload Analysis**

We randomly chose a week during the last school year (March 9 -13, 1992) and conducted a detailed teacher work load analyses by unit for both vocational and academic (including pre-release) programs. As shown in Exhibit 7-11, the week that we chose had one of the highest levels of student contact hours for the year. Thus, the analytical results will be higher than the average week. Our analyses, presented in exhibits 7-12 and 7-13 show that:

- For academic classes (exhibit 7-12):
    - the average class enrollment ranged from a low of 10 students at Briscoe and Jester II to a high of 23 at Coffield, Ellis I and Jester I;

### EXHIBIT 7-11
### NUMBER OF WSS STUDENT CONTACT HOURS PER WEEK
### 09/03/91 TO 05/30/92



## EXHIBIT 7-12
## TEACHER WORKLOADS BY WSS SCHOOL ACADEMIC COURSES
## (Week of March 9 - 13, 1992)

| UNIT | NO. OF TEACHERS* | NO. OF CLASSES | AVG ENROLLMENT PER CLASS | AVG CLASSROOM HRS/TCHR/DAY | AVG ENROLLED STU CONTACT HRS/TCHR/DAY | AVG ACTUAL STU CONTACT HRS/TCHR/DAY | % OF STU PRESENT |
|---|---|---|---|---|---|---|---|
| Beto I | 19 | 37 | 15 | 5.8 | 90.0 | 79.1 | 87.9 |
| Beto I Special | 22 | 43 | 12 | 5.9 | 71.5 | 64.9 | 90.7 |
| Beto II | 9 | 20 | 17 | 6.7 | 106.7 | 100.9 | 94.6 |
| Briscoe | 5 | 10 | 10 | 6.0 | 64.4 | 55.2 | 85.7 |
| Central | 7 | 14 | 19 | 6.0 | 118.0 | 103.2 | 87.5 |
| Clemens | 10 | 24 | 20 | 6.2 | 127.7 | 117.6 | 92.1 |
| Clements | 14 | 28 | 16 | 6.0 | 98.0 | 86.4 | 88.2 |
| Coffield | 15 | 30 | 23 | 6.0 | 136.4 | 116.8 | 85.6 |
| Daniel | 12 | 23 | 17 | 5.8 | 98.5 | 92.8 | 94.2 |
| Darrington | 11 | 24 | 18 | 6.5 | 120.0 | 98.2 | 81.8 |
| Eastham | 10 | 21 | 18 | 6.3 | 113.8 | 102.5 | 90.0 |
| Ellis I | 10 | 12 | 23 | 5.5 | 116.4 | 109.2 | 93.8 |
| Ellis II | 14 | 32 | 16 | 6.4 | 102.4 | 89.6 | 87.5 |
| Ferguson | 17 | 38 | 16 | 6.7 | 98.4 | 89.4 | 90.9 |
| Gatesville | 21 | 45 | 16 | 6.0 | 95.1 | 86.6 | 91.0 |
| Goree | 4 | 6 | 19 | 3.9 | 74.4 | 69.3 | 93.1 |
| Hightower | 15 | 30 | 17 | 6.0 | 99.6 | 94.0 | 94.4 |
| Hilltop | 14 | 27 | 16 | 5.4 | 85.6 | 75.6 | 88.3 |
| Hobby | 14 | 28 | 21 | 6.0 | 126.0 | 118.0 | 93.7 |
| Hughes | 10 | 28 | 21 | 6.2 | 101.9 | 91.8 | 90.1 |
| Huntsville | 10 | 29 | 13 | 8.1 | 99.8 | 85.3 | 85.5 |
| Jester I | 4 | 8 | 23 | 6.0 | 144.0 | 136.8 | 95.0 |
| Jester II | 5 | 11 | 10 | 5.7 | 62.9 | 55.4 | 88.1 |
| Jester III | 13 | 28 | 17 | 6.0 | 103.8 | 93.9 | 90.5 |
| Lewis | 15 | 30 | 19 | 6.0 | 116.8 | 111.2 | 95.2 |
| Michael | 9 | 27 | 18 | 6.0 | 96.6 | 84.6 | 87.6 |
| Mountain Vw. | 6 | 13 | 14 | 6.5 | 78.4 | 72.4 | 92.3 |
| Pack I | 14 | 34 | 15 | 7.3 | 109.3 | 102.5 | 93.8 |
| Pack II | 11 | 24 | 17 | 7.0 | 108.2 | 98.2 | 90.7 |
| Ramsey I | 11 | 26 | 17 | 6.1 | 104.0 | 98.3 | 94.5 |
| Ramsey II | 5 | 10 | 19 | 5.6 | 105.6 | 96.0 | 90.9 |
| Ramsey III | 13 | 32 | 17 | 6.4 | 110.3 | 99.4 | 90.2 |
| Retrieve | 6 | 15 | 20 | 6.0 | 115.5 | 105.5 | 91.3 |
| Roach | 13 | 26 | 15 | 5.6 | 88.8 | 82.4 | 92.8 |
| Skyview | 10 | 20 | 11 | 6.0 | 62.0 | 48.4 | 78.1 |
| Wynne | 11 | 22 | 22 | 6.0 | 122.0 | 110.8 | 90.8 |
| TOTAL | 409 | 875 | n/a | n/a | n/a | n/a | n/a |
| AVG | 11.4 | 24.3 | 17.1 | 6.2 | 104.3 | 94.5 | 90.6 |

* Number of teachers includes those hired on a contract basis to teach short courses.

Source: WSS Administrative Office, 1992.

# EXHIBIT 7–13
# TEACHER WORKLOADS BY SCHOOL FOR VOCATIONAL COURSES

(Week of March 9 – 13, 1992)

| UNIT | NO. OF TEACHERS* | NO. OF CLASSES | AVG ENROLLMENT PER CLASS | AVG CLASSROOM HRS/TCHR/DAY | AVG ENROLLED STU CONTACT HRS/TCHR/DAY | AVG ACTUAL STU CONTACT HRS/TCHR/DAY | % OF STU PRESENT |
|---|---|---|---|---|---|---|---|
| Beto I | 8 | 8 | 18 | 6.0 | 106.6 | 94.0 | 88.2 |
| Beto I Special | 6 | 10 | 8 | 8.3 | 69.0 | 58.3 | 84.5 |
| Beto II | 5 | 6 | 16 | 7.2 | 115.7 | 108.0 | 93.4 |
| Briscoe | 3 | 3 | 12 | 6.0 | 82.8 | 75.6 | 91.3 |
| Central | 5 | 5 | 17 | 6.0 | 104.2 | 86.6 | 83.1 |
| Clemens | 6 | 7 | 18 | 6.8 | 119.0 | 109.2 | 91.8 |
| Clements | 7 | 9 | 14 | 6.9 | 98.5 | 90.3 | 91.6 |
| Coffield | 6 | 7 | 17 | 7.0 | 117.8 | 102.4 | 86.9 |
| Daniel | 6 | 7 | 15 | 7.0 | 107.8 | 101.3 | 93.9 |
| Darrington | 3 | 3 | 19 | 6.0 | 114.8 | 99.4 | 86.6 |
| Eastham | 5 | 5 | 20 | 6.0 | 119.6 | 111.8 | 93.5 |
| Ellis I | 5 | 6 | 15 | 6.0 | 84.2 | 73.2 | 86.9 |
| Ellis II | 8 | 10 | 14 | 7.5 | 102.0 | 92.0 | 90.2 |
| Ferguson | 13 | 15 | 17 | 6.5 | 109.8 | 100.6 | 91.6 |
| Gatesville | 7 | 10 | 13 | 5.7 | 87.1 | 79.4 | 91.1 |
| Goree | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Hightower | 6 | 8 | 13 | 8.0 | 106.4 | 102.9 | 96.7 |
| Hilltop | 5 | 5 | 16 | 5.2 | 78.8 | 75.6 | 95.9 |
| Hobby | 6 | 6 | 19 | 6.0 | 115.8 | 110.6 | 95.5 |
| Hughes | 6 | 6 | 19 | 6.0 | 113.6 | 106.8 | 94.0 |
| Huntsville | 2 | 2 | 22 | 4.6 | 94.6 | 85.4 | 90.3 |
| Jester I | 2 | 2 | 16 | 2.4 | 39.4 | 7.8 | 19.8 |
| Jester II | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Jester III | 7 | 8 | 18 | 5.9 | 110.6 | 99.9 | 90.3 |
| Lewis | 6 | 7 | 15 | 7.0 | 104.5 | 99.4 | 95.1 |
| Michael | 6 | 7 | 20 | 6.8 | 139.8 | 112.5 | 80.5 |
| Mountain Vw. | 5 | 10 | 10 | 8.8 | 102.0 | 89.6 | 87.8 |
| Pack I | 6 | 7 | 14 | 5.4 | 82.8 | 77.2 | 93.2 |
| Pack II | 9 | 12 | 14 | 6.7 | 92.3 | 83.7 | 90.8 |
| Ramsey I | 4 | 5 | 19 | 6.5 | 126.5 | 118.5 | 93.7 |
| Ramsey II | 1 | 1 | 16 | 6.0 | 94.8 | 88.4 | 93.2 |
| Ramsey III | 8 | 11 | 16 | 7.4 | 99.0 | 84.4 | 85.3 |
| Retrieve | 1 | 2 | 18 | 8.4 | 146.4 | 145.2 | 99.2 |
| Roach | 5 | 5 | 19 | 6.0 | 120.2 | 113.6 | 94.5 |
| Skyview | 3 | 7 | 11 | 7.0 | 79.3 | 62.5 | 78.8 |
| Wynne | 6 | 6 | 17 | 6.0 | 103.2 | 95.2 | 92.2 |
| TOTAL | 187 | 228 | n/a | n/a | n/a | n/a | n/a |
| AVG | 5.5 | 6.7 | 16.0 | 6.5 | 106.3 | 95.6 | 90.0 |

*Number of teachers includes those hired on a contract basis to teach short courses.

Source: WSS Administrative Office, 1992.

  - the system-wide average class enrollment was 17.1 students (which is considerably less than the 20 to 25 norm for Texas high schools and on the low end of Windham's 16 to 25 norm for academic classes);
  - the average hours that a teacher was in the classroom per day ranged from a low of 3.9 at Goree to a high of 8.1 at Huntsville;
  - the system-wide average classroom hours per day per academic teacher was 6.2 (which compares favorably to the 5 hours per day for Texas public schools);
  - the average student attendance rate for academic classes was 90.6% (which is below Windham's goal of 95%);
  - the average student contact hours per teacher was 94.5 (which is below the norm of 100 - 125 for Texas high schools and also below Windham's requirement of 108) per day across the units.

- For vocational classes (exhibit 7-13):
  - the average class enrollment ranged from a low of 8 at Beto I - Special to a high of 22 at Huntsville;
  - the system-wide average class enrollment was 16.0, which is on the low end of Windham's norm of 12 to 20 for vocational classes;
  - the average hours that a vocational teacher was in the classroom each day ranged from a low of 2.4 at Jester I to a high of 8.8 at Mountain View;
  - the system-wide average classroom hours per day per vocational teacher was 6.5, which compares favorably to the five hours for Texas public schools;
  - the average student attendance rate was 90% compared to a Windham goal of 95%;
  - the average student contact hours per teacher per day across the units was 95.6, which is considerably above Windham's requirement of 84.

These findings will be further developed in the planning and budgeting section of chapter 8.

We conducted a similar program workload analysis from data obtained from three of the four privately managed units. Our analyses of workloads for academic and vocational teachers in the private units are shown as exhibits 7-14 and 7-15, respectively.

In comparing academic teacher workloads in WSS (exhibit 7-12) and in private (exhibit 7-14) units, we found that in our sample:

- average academic class enrollment was greater in the private units (19.2) than it was in WSS units (17.1);
- average actual student contact hours per academic teacher per day was greater in the private units (99.1) than it was in the WSS units (92.3);
- the academic class attendance rate at private units (91.6%) was slightly higher than it was in WSS units (90.6%).

Similarly, when we compared vocational teacher workloads in WSS (exhibit 7-13) and in private (exhibit 7-15) units, we found that in our sample:

- average vocational class enrollment was much greater in the private units (20.0) than it was in WSS units (16.0);
- average actual student contact hours per vocational teacher was much greater in the private units (106.9) than it was in WSS units (95.6);
- the vocational class attendance rate at private units (88.7%) was slightly lower than it was in WSS units (90%).

Based on our sample, we conclude that:

- class sizes at private units are larger than those found at WSS units;
- although teachers at the private units and at WSS units both average about six hours of classroom teaching per day, the larger class sizes give the private units a considerably greater average actual student contact hours per teacher per day than found at the WSS units.

## EXHIBIT 7-14
## TEACHER WORKLOADS BY PRIVATE SCHOOL FOR ACADEMIC COURSES

(Week of August 3 – 7, 1992)

| UNIT | NO. OF TEACHERS | NO. OF CLASSES | AVG ENROLLMENT PER CLASS | AVG CLASSROOM HRS/TCHR/DAY | AVG ENROLLED STU CONTACT HRS/TCHR/DAY | AVG ACTUAL STU CONTACT HRS/TCHR/DAY | % OF STU PRESENT |
|---|---|---|---|---|---|---|---|
| *Wackenhut* | | | | | | | |
| Bridgeport | 8 | 15 | 23 | 4.9 | 111.8 | 110.3 | 98.7 |
| Kyle | 7 | 20 | 15 | 7.4 | 104.6 | 91.4 | 87.4 |
| *CCA* * | | | | | | | |
| Venus | 6 | 7 | 19 | 4.2 | 77.0 | 67.4 | 87.6 |
| TOTAL | 21 | 42 | n/a | n/a | n/a | n/a | n/a |
| AVG | 7.0 | 14.0 | 19.2 | 5.9 | 108.1 | 99.1 | 91.6 |

SOURCE: Information obtained from private units.

* Cleveland did not respond to the information request.

## EXHIBIT 7-15
## TEACHER WORKLOADS BY PRIVATE SCHOOL FOR VOCATIONAL COURSES

(Week of August 3 – 7, 1992)

| UNIT | NO. OF TEACHERS | NO. OF CLASSES | AVG ENROLLMENT PER CLASS | AVG CLASSROOM HRS/TCHR/DAY | AVG ENROLLED STU CONTACT HRS/TCHR/DAY | AVG ACTUAL STU CONTACT HRS/TCHR/DAY | % OF STU PRESENT |
|---|---|---|---|---|---|---|---|
| *Wackenhut* | | | | | | | |
| Bridgeport | 7 | 7 | 21 | 7.0 | 149.0 | 140.0 | 94.0 |
| Kyle | 7 | 7 | 19 | 5.2 | 106.2 | 83.4 | 78.5 |
| *CCA* * | | | | | | | |
| Venus | 4 | 6 | 20 | 5.4 | 105.0 | 97.8 | 93.1 |
| TOTAL | 18 | 20 | n/a | n/a | n/a | n/a | n/a |
| AVG | 6.0 | 6.7 | 20.0 | 5.9 | 120.4 | 106.9 | 88.7 |

SOURCE: Information obtained from private units.

* Cleveland did not respond to the information request.

### *7.3.3 Recommendations*

- The WSS should increase its requirements for the average ADA class size per teacher from:
    - 18 to 22 for regular academic classes;
    - 8 to 12 for special education and ESL classes;
    - 14 to 19 for vocational classes
- The WSS should include in its Annual Performance Report the numbers of participants and the numbers and percentages of completers in each of its academic and vocational programs.
- The WSS should expand Chapter I programs to additional schools that have eligible students who are not being served.
- The WSS should give priority to completing the development and implementation of its ESL curriculum handbook.

### *7.3.4 Financial Impact*

- The only recommendation that has associated cost savings relates to increased ADA class sizes. The cost savings are addressed in chapter 8.

### *7.3.5 Implementation Strategies*

- To ensure having annual statistics on the percentages of completers in each academic and vocational program, the WSS should assign each principal the responsibility of submitting monthly updated reports to the superintendent's office. These reports should begin in September 1992.
- Until Chapter I classes are added at all eligible units during the regular school days, the WSS should implement a pilot study at one unit to assess the effectiveness of establishing a Saturday Chapter I program for eligible students. The pilot program should be planned during the 1992-93 school year and implemented and evaluated during the 1993-94 school year.

- The ESL curriculum handbook should be completed and disseminated to ESL teachers for review no later than September 30, 1992. Based on feedback from ESL teachers, the handbook should be revised and put into full use by January 4, 1992.

## 7.4 Student Assessments

### 7.4.1 Current Situation

The WSS is responsible for providing testing system-wide for Educational Achievement (E.A.), General Education Development (GED), and all vocational programs excluding short courses and cooperative training classes. In order to have standardization and consistency throughout the system, the following testing procedures are followed:

Educational Achievement Testing (E.A.)

- The Test of Adult Basic Education (TABE) is used to measure academic achievement and determine a grade equivalent score (i.e., E.A. level) on incoming inmates and WSS students.
- Incoming inmates are tested on each unit whenever there are about 25 inmates needing testing. Incoming inmates who take the test are those who are new to TDCJ-ID, not those who are transfers from another unit. The TABE Locator Test is used to determine the appropriate level test to administer to incoming inmates.
- Including the time it takes to administer the locator test, E.A. testing requires about 4.5 hours.
- E.A. Scores are used to determine placement in academic and vocational programs and eligibility for attempting the GED test.
- The test examiner and/or the instructional aide is responsible for coordinating, scheduling, and administering all E.A. tests.

- WSS students are tested after every 100 hours of "academic" instruction using the appropriate level TABE. Academic instruction includes the basic academic program, special education, and ESL. The 100-hour testing requirement excludes hours spent in vocational education, Chapter I classes, and pre-release (social and civic) classes.
- Students in Administrative Segregation are scheduled for E.A. testing quarterly.
- Spanish-speaking inmates are given the English E.A. test, but must also be given the option of taking the Spanish E.A. test, which does not exempt the inmate from being a mandatory student but may be used to qualify the inmate to attempt the Spanish GED.
- Special adaptations of the E.A. test are used for inmates with physical, psychological, or learning disabilities.
- All E.A. test machine scorable answer sheets are sent by the test examiner or the instructional aide to the WSS administration building in Huntsville for scoring. The WSS Records Office sends the score reports to the unit within three working days of receipt of the answer sheets.

### General Education Development Testing (GED)

- The General Education Development test is scheduled to be given every other month on each unit. Inmates in Administrative Segregation are tested every fourth month.
- The unit counselor is responsible for verifying the eligibility list and scheduling, coordinating and organizing the GED tests.
- Test examiners are responsible for the actual administration of the GED tests. Instructional Aides may serve as Proctors for the GED tests but may not be responsible for administering them.
- Inmates must score 7.5 or higher on either the difficult (D) or advanced (A) level of the English TABE, or 7.0 on the Spanish TABE to be eligible for GED testing.
- Inmates in the Pre-Release (social and civic) Program can become eligible for GED testing by passing the official GED practice test.
- No examinee may take the GED test more than three times per year nor test on the same form more than once.

- The entire GED test battery requires seven hours and 35 minutes of testing time. The five individual subtests range in length from 65 minutes for testing reading skills to 120 minutes for testing writing skills. WSS units now spread the testing over a period of two to five consecutive days. Inmates retake only those subtests that they have not yet passed.

- Special adaptations of the GED test are used for inmates with physical, psychological, or learning disabilities.

- All GED test machine scorable answer sheets, plus the test takers' written essays (a part of the writing skills subtest) are sent by the test examiner to the WSS administration building in Huntsville for scoring. Within one week, the WSS records office sends the score reports to the unit for all subtests of the GED except for written essays. These are sent to the University of Texas in Austin for scoring, a process that requires about two weeks. When the essay scores are received by the records office, the complete results of the GED testing are sent to the unit. Therefore, it takes about three weeks total from the time that GED test administration is completed until the unit receives the complete test results.

Vocational Testing

- Testing students enrolled in regular (i.e., clustered or segmented) programs involves three different types of examinations.

- A segment exam is given to all students who complete one of the 150-hour segments of the multi-segment vocational programs. The segment exams take about one hour to complete and are administered and graded by the vocational instructors and monitored by the WSS guidance counselors.

- A written final exam is given to all students who have completed all segments of a vocational program and have demonstrated mastery of at least 70% of the skills listed on the student progress record for the particular vocational program. The written final exams, which take about 2½ hours, are administered and scored by the WSS guidance counselors.

- A skills final exam is given to all students who passed their final exam. The skills final exam is administered and graded by the vocational instructor and monitored by the vocational supervisor. The skills final exam requires an entire class period (6 hours) and requires the student to demonstrate four or five skills randomly chosen by the vocational supervisor from all the skills included in the program.

Administration of all three types of vocational tests is carefully scheduled for all units on an annual planning calendar to allow the needed coordination among vocational instructors, supervisors, and guidance counselors.

- All segment and final exams are developed and regularly updated under the coordination of the curriculum specialist supervisor in the vocational department.

Two types of vocational certificates are awarded to successful vocational program participants:

1. A certificate of achievement is awarded to:
    - students who have an average score of at least 70% for the three types of tests given in clustered or segmented vocational programs;
    - students in cooperative training classes whose teachers' have decided they are eligible for the certificate based upon grades and objectives successfully completed. No final written or skills exams are involved.
2. A certificate of participation is awarded to:
    - students who have an average score less than 70% for the three types of tests given in the long-term programs, but who have successfully completed at least one manipulative skill;
    - students who successfully complete a short vocational course. No final written or skills exams are involved.

### *7.4.2 Findings*

Daily Student Assessments

- The WSS has an exemplary system for maintaining a daily assessment of each student's progress in WSS academic and vocational programs. Performance criteria for each instructional objective in a program are specified in the academic and vocational curriculum guides. Student progress is recorded on a Student Progress Record (SPR) card which is maintained for every student enrolled in the basic academic curriculum. Student progress is recorded on specially designed forms that are customized for each vocational program.

## Educational Achievement Student Assessments

- We tracked the E.A. testing and placement of all 4,756 inmates who were mandatory students (i.e., scored less than 6.0 on their E.A. test), and had entered a TDCJ-ID unit during the nine-month period from September 1, 1991 through May 31, 1992. We found that:
  - 54% of these mandatory students had their initial E.A. testing done prior to their arrival on the unit (i.e., they were transferred from another unit) and the remaining 46% had their initial E.A. testing done after they arrived on the unit (i.e., they were non-transferred inmates);
  - 64% of the transferred inmates who were mandatory students were placed in school (by June 30, 1992), and the average number of days between arrival on the unit by these transferred inmates and their placement in school was 40 days;
  - 83% of the non-transferred inmates who were mandatory students were placed in school (by June 30, 1992) and the average number of days between arrival on the unit by these non-transferred inmates and their placement in school was 43 days;
  - the average number of days between arrival on the unit by non-transferred inmates and their initial E.A. testing was 31 days;
  - among the 4,756 mandatory students we tracked, 73% had been placed in academic programs by June 30, 1992.
- WSS administered and scored 73,896 E.A. tests during the 12-month period ending in March, 1992. At 4.5 hours per test, this represented one-third of a million inmate hours spent in E.A. testing.
- Despite the large amount of time devoted to E.A. testing, we heard relatively few comments during our site visits that the testing was excessive. Because the average amount of time students participated in academic programs last year (1990-91) was only 157 hours, testing students after every 100 hours of instruction is necessary to obtain measures of academic achievements made by most students.
- E.A. testing for the annual period involved four groups of inmates:
  - 45% of all E.A. testing involved incoming inmates to TDCJ-ID prison units;

  - 51% of all E.A. testing was for students who had completed 100 hours of academic instruction since their last E.A. test;
  - 2% of all E.A. testing involved students from the In-Cell Study Program;
  - 2% of all E.A. testing involved inmates who were attempting to demonstrate an E.A. score of at least 12.0 on the reading, math, or language subtest to qualify for admission into college-level programs (Besides the 12.0 E.A. score, inmates must also have a high school diploma or a GED, or a transcript from a college or university.).

- For the 1990-91 school year, WSS set a goal of 1.0 average grade level equivalent (GLE) gain on the 100-hour E.A. test, however, students demonstrated an average gain of only 0.6 GLE.

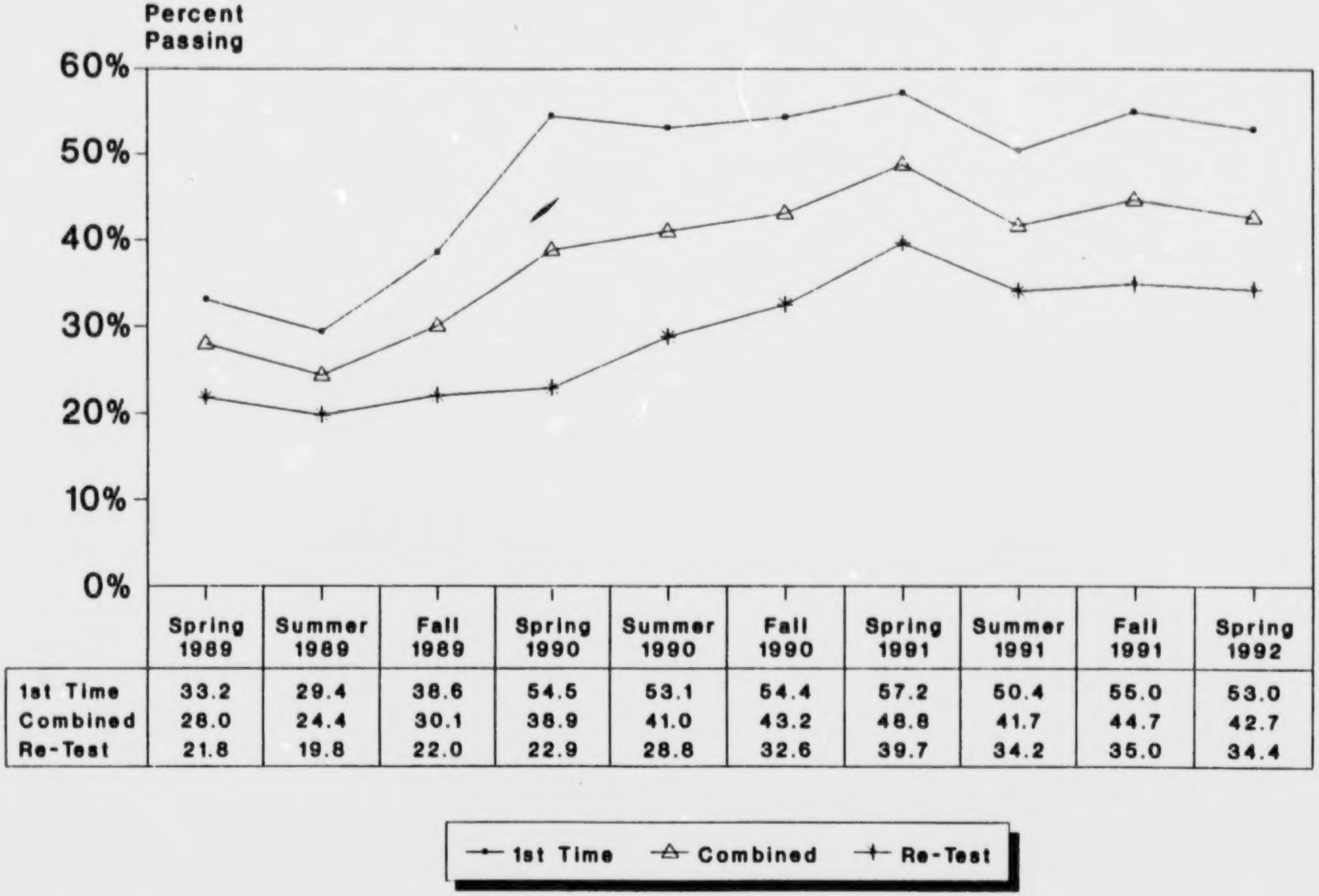
- The 1991-92 school year was only the second year in which E.A. tests were administered after every 100 hours of academic instruction and the school year was not completed at the time of our review. Therefore, no trend analysis is available to assess whether 100-hour E.A. test scores are improving, declining, or remaining the same.

### GED Student Assessments

- WSS administered and scored 9,570 GED tests during the 12-month period ending in March 1992.

- The WSS did not report trends in GED passing rates in its 1990-91 Annual Performance Report. However, when we graphed recently compiled data that was provided to us by the WSS testing department (see exhibit 7-16) the trend shows very favorable improvements in GED passing rates over the last three years. Between Spring 1989 and Spring 1992, GED passing rates improved from:
  - 33.2% to 53.0% for first-time GED examinees;
  - 21.8% to 34.4% for those who initially failed the test and were retested;
  - 28.0% to 42.7% for the combined group of first-time and retested examinees.

# Exhibit 7-16
# RESULTS OF WSS GED TESTING
# SPRING 1989 THROUGH SPRING 1992



| | Spring 1989 | Summer 1989 | Fall 1989 | Spring 1990 | Summer 1990 | Fall 1990 | Spring 1991 | Summer 1991 | Fall 1991 | Spring 1992 |
|---|---|---|---|---|---|---|---|---|---|---|
| 1st Time | 33.2 | 29.4 | 38.6 | 54.5 | 53.1 | 54.4 | 57.2 | 50.4 | 55.0 | 53.0 |
| Combined | 28.0 | 24.4 | 30.1 | 38.9 | 41.0 | 43.2 | 48.8 | 41.7 | 44.7 | 42.7 |
| Re-Test | 21.8 | 19.8 | 22.0 | 22.9 | 28.8 | 32.6 | 39.7 | 34.2 | 35.0 | 34.4 |

SOURCE: WSS Inter-office Communications dated 6/15/92.

Vocational Student Assessments

- We obtained a report from the vocational department that showed the following results of 1990-91 written final exams for vocational programs:
  - 2,581 vocational students took a final written exam for their vocational program and 2,478 (96%) passed the exam;
  - 17 of the 42 programs (40%) had their final written exams passed by all students who were tested.
- WSS did not report trends in student assessment results in its most recent (1990-91) Annual Performance Report, nor did it contain the final exam statistics cited above.
- We compiled the information presented in exhibit 7-17 which shows favorable trends in vocational student assessments:
  - The number of students taking the final examination for their vocational program more than doubled during the seven-year period ending in 1990-91.
  - The percentage of vocational program students who passed their final exams increased from 86% to 96% between 1985-86 and 1990-91.
  - Both the highest average score and the lowest average score in vocational courses fluctuated during the period but were higher in 1990-91 than in 1984-85.
- The 1990-91 Annual Performance Report noted that:
  - 2,715 certificates of achievement were awarded to inmates who completed a vocational training program in 1990-91;
  - 4,243 certificates of participation were awarded in 1990-91 to other inmates who were released before earning a certificate of achievement, but after completing at least one skill in a vocational program.

### EXHIBIT 7-17

### VOCATIONAL COMPETENCY TESTING DATA COMPARISONS
### 1984-85 TO 1990-91 SCHOOL YEARS

| DATA | 1984-85 | 1985-86 | 1986-87 | 1987-88 | 1988-89 | 1989-90 | 1990-91 |
|---|---|---|---|---|---|---|---|
| Number tested for final exam | 1,012 | 932 | 1,188 | 1,180 | 1,297 | 1,435 | 2,543 |
| Percentage passing | 87.2 | 85.9 | 90.0 | 88.5 | 91.3 | 95.2 | 95.7 |
| Average score | 83.8 | 80.9 | 82.8 | 83.0 | 85.0 | 86.2 | 87.0 |
| Highest average score in a course | 92.7<br>Meat Cutting | 90.3<br>Plumbing | 97.5<br>Auto Mechanic | 93.2<br>Machine Shop | 94.9<br>Consumer Home Ed | 93.2<br>Truck Driver | 93.9<br>Major Appl. Repair |
| Lowest average score | 68.9<br>CVAE Office | 67.1<br>CVAE Office | 62.7<br>Mill & Cab Making | 67.1<br>CVAE Office | 70.3<br>CVAE Office | 76.5<br>CVAE Gen Const | 72.8<br>CVAE Office |

SOURCE: Annual Performance Reports, Windham School System, 1984-85 to 1988-89
Vocational Office data for 1989-90 and 1990-91.

### *7.4.3 Recommendations*

- The WSS Board should adopt a policy that all new incoming inmates receive their initial E.A. test within two weeks of arrival on the unit and those who are eligible for WSS programs be placed in a program within 30 days of arrival on the unit.

- The WSS should continue its current procedures for student assessments related to:

  - E.A. testing
  - GED testing
  - vocational testing

  but explore the feasibility of transferring its E.A. tests and its vocational segment and final exams (except for the skills performance portion) to computer-assisted testing and scoring systems at the school sites.

- All annual performance reports on prison education should include trend analyses of student assessment results from:
  - E.A. testing
  - GED testing
  - vocational testing.

### 7.4.4 *Costs Savings*

- No cost savings are associated with our recommendations for the student assessment component.

### 7.4.5 *Implementation Strategies*

- In exploring the feasibility of transferring E.A. and vocational assessments to computer-assisted systems, the WSS should appoint a task force immediately with responsibility for examining and reporting by January 4, 1993 on the following:
  - existing test management software to determine whether any brands currently on the market will accommodate the test item types and lengths used by the WSS or whether new software will need to be developed;
  - the compatibility of available software with the computer hardware available in WSS computer labs;
  - the potential for scheduling computer managed testing in the WSS computer labs at times that will not interfere with the labs current instructional use;
  - the cost of adapting existing software or obtaining new software for computer managed testing.
- The inclusion of trend analyses from student assessments should begin with the 1991-92 Annual Performance Report (APR). The WSS should immediately assign responsibility to the various offices that contribute student assessment data to the APR to identify and include all comparable student assessment data for which three to five years of data could be graphed and explained in the APR.

## 7.5 Program Evaluation Process

### 7.5.1 Current Situation

The WSS Policies and Procedures Manual briefly addresses the program evaluation process for each of the following areas:

1. Academic Program (Section 8.03-5):

> *The academic instructional program is evaluated continuously. Overall student achievement data such as grade level gain and number of GEDs earned is analyzed annually to determine performance trends. Student participation records are reviewed to assess the effectiveness of the instructional delivery system. These data are compiled and displayed in the Windham School System Annual Performance Report.*
>
> *Periodically, the academic curricula are reviewed for relevance, content validity and compliance with established standards. The Texas Education Agency monitors the school program regularly[3], and the Southern Association of Colleges and Schools mandates a periodic self-study and outside evaluation for continued accreditation.*

2. Chapter I Program (Section 8.05-5):

> *A local educational agency may receive funds under this title only if (1) effective procedures are adopted for evaluating; (2) the evaluation includes the collection and analysis of data relating to the degree to which the programs assisted under this title have achieved their goals; (3) the evaluation addresses the purposes of the programs, and the results of the evaluations are utilized in planning for the improving of projects and activities in subsequent years.*
>
> *The Windham Chapter I program is evaluated annually. Student gains/losses are figured for each student on the basis of hours of instruction in Chapter I, the comparison of two educational achievement scores and the completion of instructional objectives during the designated time frame.*
>
> *Documentation of the fiscal records and student records used for completing the evaluation and maintaining the program are kept for a period not to exceed eight years.*

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[3] We found no evidence that TEA regularly monitors the WSS basic academic program. TEA did, however, conduct a review in February 1988 to determine whether the WSS was in compliance with state and federal regulations (see section 7.3.1) as part of the federal compliance monitoring requirement.

3. Pre-Release Program (Section 8.14-5):

*Each participant completes a "Pre-Release Student Questionnaire" upon completion of the program. Student responses are used as one means of evaluating the program and monitoring student needs.*

4. Vocational Program (Section 8.02-5):

*Each vocational course undergoes periodic review for occupational value, curriculum relevancy, operational efficiency, cost effectiveness, and expected student outcomes. Individual instructors are routinely evaluated by supervisory and administrative staff to assure quality instruction. Pre-service and in-service training, as well as technical assistance is provided as needed.*

*An advisory committee of individuals from Texas business and industry, appointed by the superintendent, serves to provide direction and assistance in establishing and maintaining appropriate vocational course offerings and curricula.*

5. Guidance Program (Section 8.17-5):

*The guidance program is evaluated continuously. Counselor contact hours with inmates are reported monthly. Activities such as student assessment, placement, and counseling are compiled and reported in the Windham School System Annual Performance Report.*

*The Texas Education Agency monitors the program[4] and the Southern Association of Colleges and Schools mandates a periodic self-study and outside evaluation for continued accreditation.*

### 7.5.2 Findings

**Limited Program Evaluation**

As seen in the preceding section, the WSS Policies and Procedures Manual briefly addresses the program evaluation process for some WSS programs. However, it is important to note that the manual does not include program evaluation among its policies and procedures for:

- the ESL program

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[4] We found no evidence that TEA regularly monitors the WSS guidance program. TEA did, however, conduct a review in February, 1988 to determine whether the WSS was in compliance with the state and federal regulations (see section 6.3.1).

- the special education program.

We reviewed a May 1990 document produced by the WSS entitled, *Program Evaluation*. We were told that the document was in the process of being updated. The document:

- identified the various evaluative processes that were used by WSS and other agencies to assess the goals, programs, operations, and outcomes of the WSS;
- summarized the evaluative reports on the WSS for the period 1986 - 1990;
- summarized student performance measures in the WSS for the 1988-89 school year;
- presented future plans and timelines for evaluating student learning in the WSS.

Although we found the 1990 *Program Evaluation* document to be a good historical summary for the period it covered, it does not meet the need for a thorough program evaluation planning and procedures document. One page is devoted to outlining future plans for evaluating student learning, and the one page is lacking in detail.

### Responsibility for Program Evaluation

Responsibility for system-wide program evaluation is distributed across several people in different cost centers as seen in excerpts from the job descriptions for the following positions:

- **Deputy Superintendent** -- Provides for systematic evaluation of the effectiveness of the instructional program.
- **Coordinator of Planning and Evaluation** -- Conducts monitoring of unit education programs for compliance with TEA and WSS policies and procedures and reports findings to the superintendent. Recommends changes for policies and procedures based on monitoring findings.

- **Curriculum Director** -- Uses student achievement data in interpreting, reporting, and acting on results for the purpose of instructional improvement. Identifies, analyzes, and applies the findings of external research and conducts internal research to facilitate curricular and instructional improvement.

- **Assistant Vocational Administrator** -- Evaluates vocational program effectiveness through classroom and shop observations, curriculum implementation, and student test results.

- **Instructional Supervisor (Vocational Department)** -- Coordinates needs assessments and program evaluation for all vocational programs.

We reviewed a 13-page document that identified WSS personnel who were responsible for implementation of the *1992 Goals for Windham School System.* We did this to obtain additional information on how the employees in the five positions listed above would be responsible for WSS goals related to program evaluation. The document showed that:

- no program evaluation responsibilities related to the 1991-92 goals were assigned to the deputy superintendent or to the instructional supervisor whose job description named him as the coordinator for all vocational program evaluation;

- the coordinator of planning and evaluation (a newly created position this year) was assigned responsibility for:
  - developing and implementing a monitoring instrument for unit operations relating to schools
  - developing and implementing an in-house auditing instrument for inspecting all unit education programs
  - establishing a schedule for systematic inspection of unit education programs

- the curriculum director was assigned responsibility for:
  - reviewing the social studies and science curricula for potential revisions
  - coordinating the SACS accreditation visit which occurred in January, 1992

  - assisting regional staff with campus improvement plans
  - coordinating research efforts to evaluate the effectiveness (inclusive of the impact of recidivism) of academic instructional programs, approaches, materials, etc.
  - beginning the evaluation of the Social and Civics Skills Program

- the assistant vocational administrator was assigned responsibility for:
  - reviewing TTAS appraisal results on vocational teachers to identify those with "exceptional quality" ratings in multiple areas and using these teachers as models for others to emulate

Therefore, the major responsibilities for program evaluation have been assigned to the coordinator of planning and evaluation and the curriculum director. The latter position has had responsibility for producing the Annual Performance Reports which include program evaluation outcomes discussed later in this section. But, since the curriculum director has responsibility over academic programs and not over the vocational programs, we believe a major portion of the WSS educational delivery system (i.e., its vocational education program) has failed to receive adequate program evaluation.

As noted above, the newly created position of coordinator of planning and evaluation is responsible for developing a system for monitoring all education programs in the WSS. Our discussions with the coordinator revealed that no system-wide monitoring had yet been done, but that plans were being formulated to conduct monitoring visits of WSS programs in three WSS schools per region per year. Thus, all programs in all units would be monitored on a three-year cycle. The coordinator estimates that five WSS district-level administrators would spend about two days at each prison unit conducting the systematic review of each school's programs and operations.

Program Evaluation Outcomes

Our review of the WSS Annual Performance reports from the last five years found that it was not until the most recent report (1990-91) that the WSS presented information on goal achievement. One way of evaluating program effectiveness is to assess the extent to which programmatic goals are being met. The WSS 1990-91 Annual Performance Report provides the student achievement goals and the results of measures used to determine whether these goals were attained. We have summarized the goals and the outcomes in exhibit 7-18. As seen in the exhibit:

- WSS set student achievement goals for its:
  - academic program participants
  - ESL program participants
  - Chapter I program participants
  - GED test takers and re-tested students
- WSS did not establish student achievement goals for:
  - special education students
  - vocational education program participants
  - pre-release program participants
- WSS students achieved three of the six student achievement goals discussed in the 1990-91 Annual Performance Report:
  - Chapter I participants attained their goal of an average gain of 0.8 grade level equivalent per 100 hours of instruction;
  - the passing rate for all GED test takers was 43.0% which exceeded the goal of 41.6%;
  - the passing rate on the GED writing test was 56%, which exceeded the goal of 54%.

Although we believe that in the past the WSS was doing an insufficient amount of goal setting for measuring student achievement and outcome reporting as seen by the very limited student outcome measures reported above, we found that for the 1991-92 school year, WSS has set for itself a much larger set of measurable goals that can be

## EXHIBIT 7-18

## WSS STUDENT ACHIEVEMENT GOALS AND RESULTS
## 1990-91 SCHOOL YEAR

| INMATE GROUP | GOAL | RESULT | GOAL ACHIEVED? |
|---|---|---|---|
| All Academic Program Participants | Average gain of 1.0 grade level equivalent (GLE) per 100 hours of academic instruction | Academic participants' average gain was 0.6 GLE per 100 hours instruction | No |
| All ESL Participants | Average gain of 1.0 grade level on the Language Assessment Scales | ESL students' average gain was 0.7 level regardless of hours of instruction | No |
| Chapter I Participants | Avg. gain of 0.8 GLE per 100 hours of academic and Chapter I instruction | Chapter 1 students' avg. gain was 0.8 GLE level equivalent per 100 hours instruction | Yes |
| All GED Test Takers | Increase passing rate from 36.6% in 1989-90 to at least 41.6% in 1990-91 | GED overall passing rate was 43.0% * | Yes |
| All GED Test Takers | Increase passing rate on GED writing test from 49% in 1989-90 to at least 54% in 1990-91 | GED writing test passing rate was 56% | Yes |
| GED Re-Testers | Increase passing rate of re-testers from 24.5% in 1989-90 to 44.5% in 1990-91 | GED re-testers passing rate was 36% | No |
| Special Education Students | None specified | Special education participants' avg. gain was 0.3 GLE per 100 hours instruction | None specified |
| Vocational Program Participants | None specified | Not reported ** | None specified |
| Pre-Release Program Participants | None specified | Not reported | None specified |

SOURCE: WSS Annual Performance Report, 1990-91.

* Only the Cleveland unit reported comparable GED passing rate statistics. The 1990-91 passing rate at Cleveland was 44.0%.

** Although not presented in the Annual Performance Report, we found that 96% of the 2,581 vocational program participants who took the final examination passed it. Of the 42 vocational programs for which final exams were administered in 1990-91, 17 (40%) of the programs had all students passing the final exams.

used for extensive program evaluation. The 1991-92 goals (which are listed in the next chapter as exhibit 8-1) include:

- 16 goals for student achievement including vocational program achievement;
- 4 goals for vocational program completion;
- 2 goals for instructional coordination;
- 5 goals for school management;
- 5 goals for program development.

### Survey Findings Supplementing Program Evaluation

Some of the findings from our surveys of wardens, principals, professional staff, and students at WSS and privately-managed units provide additional evaluative data on the quality of educational programs at these units. We found that:

- over 70% of the principals, wardens, and professional staff at WSS and the private units feel that:
  - the quality of education in their units is *excellent* or *good*
  - the quality of education in their units is *improving*;
- principals, wardens, and professional staff at WSS and the private units combined give the instructional services at their unit higher ratings overall in terms of efficiency and effectiveness than any of the other services provided;
- over three-fourths of the students at WSS and at private units give their teachers above average grades;
- about three-fourths of the students at WSS and at private units believe the kinds of classes now offered at their units will help them to get a job upon release from prison.

### *7.5.3 Recommendations*

- The WSS Board should adopt a policy that all WSS programs are to be monitored annually in terms of performance and cost, and that detailed on-site evaluations be conducted only for those programs that do not appear to be operating effectively and efficiently.

- The WSS should modify its current plans to systematically monitor each school's programs and operations through site visits every three years and, instead, conduct monitoring site visits by exception only for those programs that do not appear to be operating effectively or efficiently.

- The WSS should expand its Policies and Procedures Manual to:

  - provide details of how each program evaluation will assess the extent to which program goals and objectives are being met;

  - include program evaluation procedures for the ESL program and the special education program.

- The WSS should continue to update the outdated (1990) *Program Evaluation* document and produce timely annual updates.

- The WSS should assign responsibility for designing, implementing, and reporting all program evaluations to a single program evaluation office that is independent from the programs it will be evaluating. (The Office of Planning, Budgeting and Evaluation recommended in chapter 5 should serve this function.)

- The WSS should address each of its annual goals in its annual performance report and provide summary data to indicate the extent to which each goal was achieved.

- The WSS should include five-year trend data whenever possible in its presentation of student achievement, program participation, and other key data related to WSS school operations.

### *7.5.4 Financial Impact*

- If the WSS conducts on-site monitoring of unit programs by exception rather than routinely monitoring programs at all units on a three-year cycle as currently planned, we estimate that only about one-third of the units will require on-site reviews, and the cost of conducting these reviews can be reduced from an estimated $80,000 per year to $26,400 per year, yielding annual savings of $53,600. The $80,000 estimate was calculated as follows:

| | | |
|---|---|---|
| | 30 | person days per review * |
| x | 12 | units reviewed annually |
| = | 360 | person days |
| x | $ 200 | per person per day estimated personnel costs |
| = | $72,000 | total estimated personnel costs |
| + | $ 8,000 | estimated travel costs |
| = | $80,000 | estimated total costs |

* Assumes each of the five members of a review team spend two days preparing for the review, two days on-site conducting the review, and two days of review report writing following the on-site visit.

### 7.5.5 *Implementation Strategies*

- To establish a cost effective means of monitoring each program's annual performance and deciding which programs require on-site reviews, we suggest that the WSS:
  - establish an acceptable range of cost and student performance indicators for each program and flag each program that is not operating within these ranges;
  - conduct on-site evaluations by an independent team (not those responsible for overseeing the program) to identify problems and recommend solutions to improve the performance and cost measures on all programs that are not performing as expected.

## 7.6 Student Assessment, Tracking and Records

### *7.6.1 Introduction*

This component analyzes the flow of inmates through the correctional educational system and analyzes the relationship between inmate classification and access to education.

### *7.6.2 Current Situation*

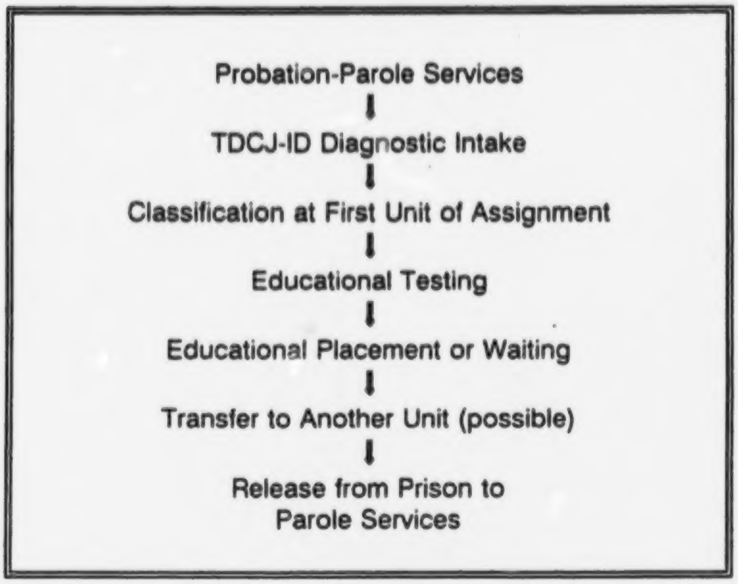
Assessment and tracking involves the evaluation of inmate needs and the monitoring of the plans to address those needs in the educational life of the inmate. Tracking involves several key functions including:

- location of inmate
- recording educational assignments
- needs follow-up
- assignment monitoring
- post-release assessment

The tracking of information relevant to the education of inmates within Texas begins before entry into prison and extends after exit. As shown in exhibit 7-19, probation and parole are points at both ends of the offender processing system which may be directly or indirectly impact in the education of the offender.

EXHIBIT 7-19

FLOW OF INFORMATION RELEVANT TO INMATE EDUCATION


Probation-Parole Services
TDCJ-ID Diagnostic Intake
Classification at First Unit of Assignment
Educational Testing
Educational Placement or Waiting
Transfer to Another Unit (possible)
Release from Prison to Parole Services

Information relevant to making educational decisions within WSS may be collected before the offender enters prison. Prior to incarceration, the probation officer will conduct interviews with the inmate and verify information for a presentence investigation report. This report usually includes information on the offender's vocational and educational background.

If the offender has been on probation or parole and is admitted to prison, the supervision plan, which describes the probation or parole case management strategy, may have addressed education. Given that many persons remanded to prison are recidivists, there may be an historical trail of educational service deliveries. Thus, the offender entering prison is often a person whose educational needs are known.

All new incoming inmates are initially classified either at the Diagnostic Center, Goree or Gatesville Units. The Central Classification Committee determines a unit assignment based on bed space considerations, age, special needs, length of sentence, recidivism and an interview with the inmate.

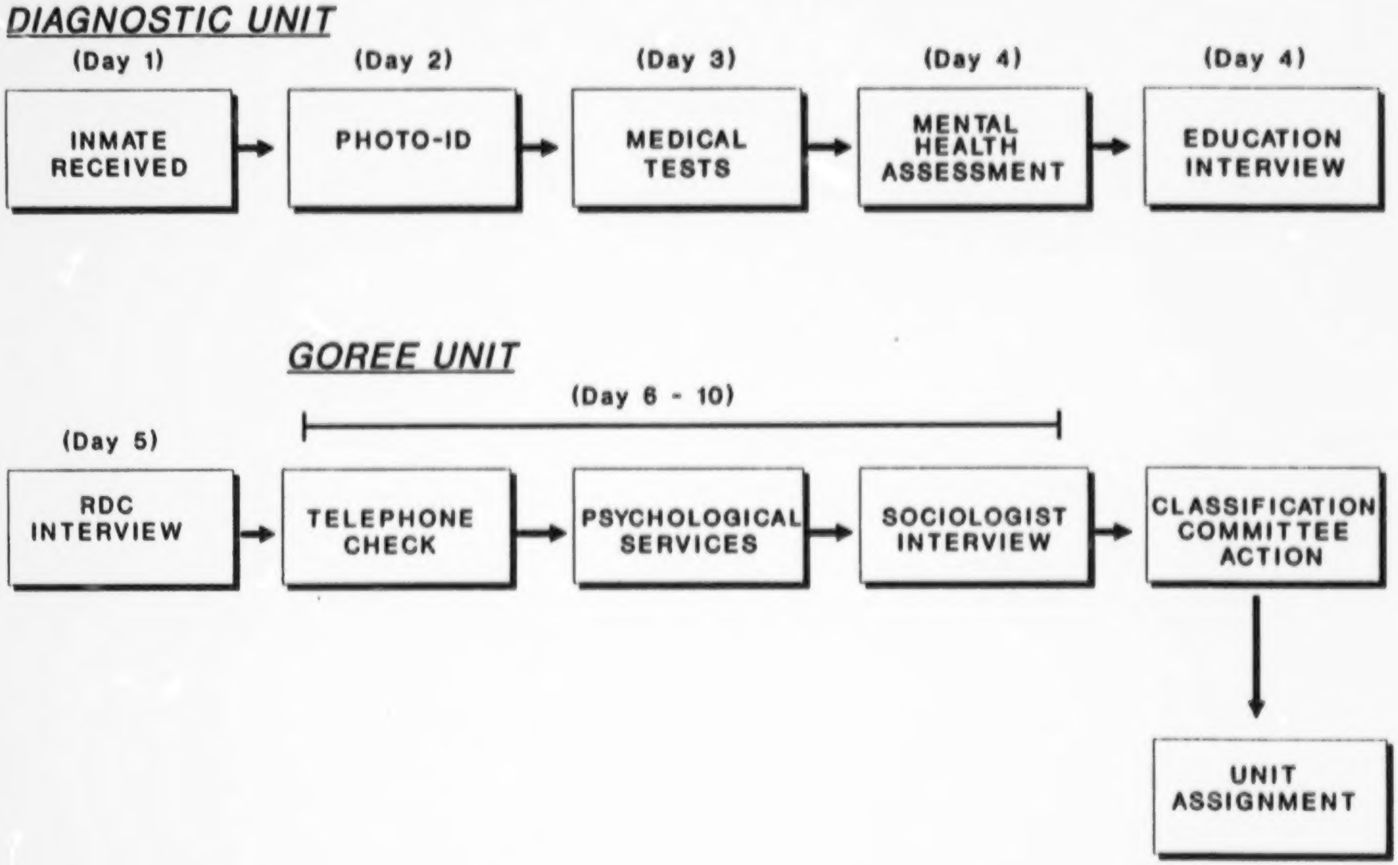
A very brief exploration of educational and vocational histories occurs at diagnostic intake. Interviews are conducted but no educational or vocational testing is provided at initial classification. Intake processing takes approximately six to ten days. Exhibit 7-20 illustrates the steps and activities within that process.

Once the inmate is transferred to a particular unit, an educational assessment is conducted by Windham School personnel. All inmates are tested for intelligence quotient and for adult basic education.

The final determination of the Central Classification Committee includes unit assignment, time class and custody level.

## EXHIBIT 7-20

## CLASSIFICATION FLOW
## TDCJ DIAGNOSTIC


DIAGNOSTIC UNIT
(Day 1)
INMATE RECEIVED
(Day 2)
PHOTO-ID
(Day 3)
MEDICAL TESTS
(Day 4)
MENTAL HEALTH ASSESSMENT
(Day 4)
EDUCATION INTERVIEW
GOREE UNIT
(Day 5)
RDC INTERVIEW
(Day 6 - 10)
TELEPHONE CHECK
PSYCHOLOGICAL SERVICES
SOCIOLOGIST INTERVIEW
CLASSIFICATION COMMITTEE ACTION
UNIT ASSIGNMENT

When the inmate is transferred to the facility, the Unit Classification Committee (UCC) reviews the placement decision and confirms a custody level, housing area and a job. At a minimum, the Assistant Warden, a representative from security and treatment and the Chief Classification Specialist or Case Manager sits on the UCC. Exhibit 7-21 displays the unit classification process.

If inmate records contain historical information indicating a below grade 6.0 functioning level or the inmate indicates a desire to participate in education, a referral is made to the WSS educational department. Also, an Initial Unit Review Client Contact Report is completed. This report contains information on academic education and vocational education.

In order to obtain placement in college courses or vocational programs matched to specific aptitudes and interests, a transfer after initial institutional assignment may be needed. The inmate is responsible for initiating a transfer request.

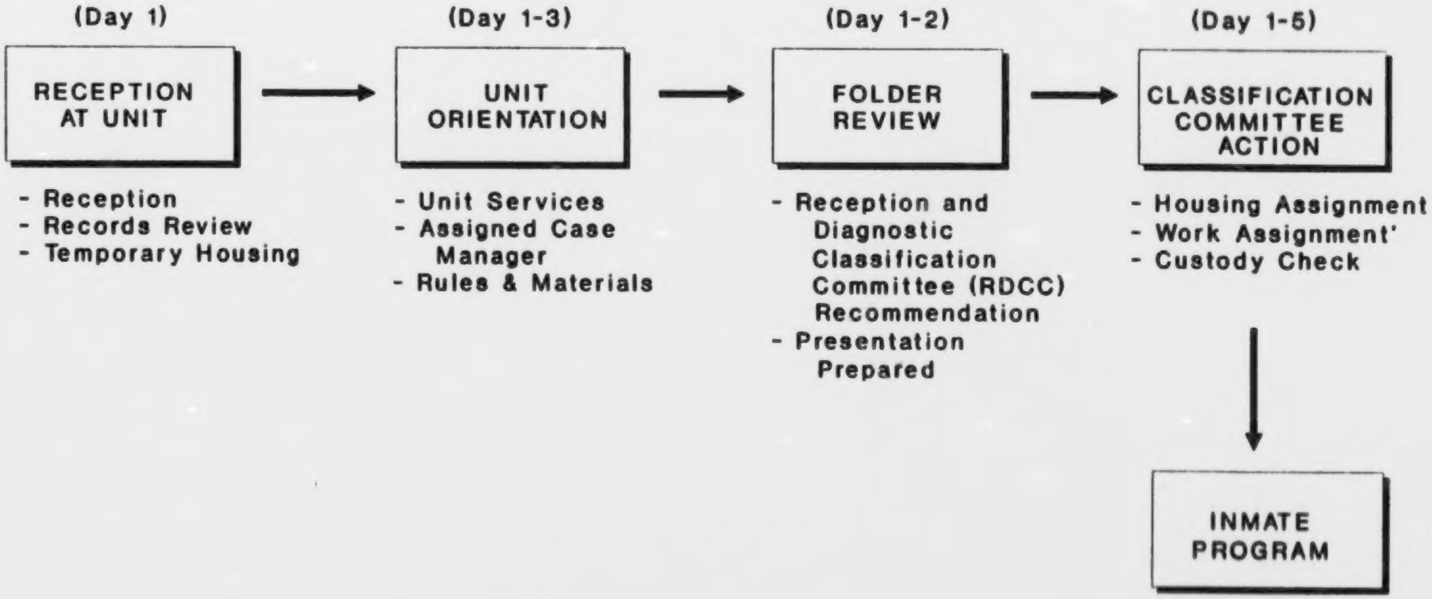
The case manager is responsible for orienting the inmate to educational opportunities within the unit and in monitoring their progress on a six-month basis.

According to policy, every inmate Line Class II or above is eligible for classroom educational opportunities. To accommodate maximum and close custody inmates, WSS and TDCJ have implemented an in-cell educational program.

Transfer of the inmate from one institution to another requires the tracking of inmate program participation and inmate educational and vocational needs. Criteria for transfers include existence of enemies, medical and psychological problems, disciplinary conduct, and escape risk. Due to these criteria and population management concerns, a transfer may take precedence over educational programming. Sometimes intended transfers can be delayed if they become known to educational staff or to the institutional case manager.

## EXHIBIT 7-21

## UNIT CLASSIFICATION



(Day 1)

**RECEPTION AT UNIT**

- Reception
- Records Review
- Temporary Housing

(Day 1-3)

**UNIT ORIENTATION**

- Unit Services
- Assigned Case Manager
- Rules & Materials

(Day 1-2)

**FOLDER REVIEW**

- Reception and Diagnostic Classification Committee (RDCC) Recommendation
- Presentation Prepared

(Day 1-5)

**CLASSIFICATION COMMITTEE ACTION**

- Housing Assignment
- Work Assignment'
- Custody Check

**INMATE PROGRAM**

This is particularly important if the inmate is close to completing a vocational or educational course.

The State Classification Committee handles all transfers to other units. Transfers directly impact on the continuity of the educational programs and they result in excluding some inmates from continuing their education since educational offerings are not consistent throughout the units.

Upon release from prison, the inmate most likely will enter parole supervision. However, no direct feedback system between WSS and parole for following-up on the continuity of educational services currently exists.

Tracking of inmate educational progress by WSS personnel is accomplished through a combination of paper files, computerized information kept in local data bases, and centralized summary computer files maintained at the WSS Central Office. Access to educational status information by TDCJ-ID personnel is limited as no direct link with the WSS computerized educational data bases exists.

### 7.6.3 Findings

- While the audit found that TDCJ-ID does maintain a computerized file with limited data relating to school participation, WSS and the Institutional Division have not yet completed development of a comprehensive inmate master file which will be accessible to Windham and which will allow WSS staff to review inmate records and to add progress reports on educational performance.

  Although the focus of improvement is largely on bringing together computer files into one centrally accessible location, the enhancement should result in some improvement of abilities to evaluate educational programs. However, given that the majority of the files are oriented toward case management, data needed for impact evaluation of educational programs will not be in great quantity. The identification of well focused program evaluation data on education that should be collected and computerized will need to be developed and incorporated into the system.

- We found that substantial effort has been directed toward informing inmates of the availability of educational services. This is a positive finding that merits notice. Currently, the intake and processing of new inmates into prison units involves multiple presentations by correctional and educational staff about the availability of educational services. Given the history of failure of most offenders to take advantage of educational services, multiple announcements are beneficial and reflect a concerted attempt by education and correctional staff to obtain participation in education. The announcements include formal and informal efforts occurring during initial orientation at the prison unit, during the unit case managers initial interview and six month reviews, during E.A. testing, in educational interviews conducted by counselors, and in vocational interviews conducted by Project RIO staff.

  These contacts with the inmates help to elicit and track the educational desires of inmates by explaining how they can become involved in applying for various educational services. This system is well established with a variety of procedures and forms to transmit requests made by inmates.

- We found that neither a representative from WSS or industry operations are permanent members of the unit classification committee (UCC); however, our interviews indicated that at 11 of the 20 units the principal sits on the UCC either regularly or occasionally.

- Although the Classification Committee is supposed to take an active role in promoting education and in ensuring that an educational assessment and an educational plan based on needs is developed, we found that this varies from institution to institution. At Wynne, for example, the UCC will give the principal's name to the inmate and inform him that he is to contact his principal if he is interested in getting involved in education. Also, the Classification Committee relies on WSS to assess the inmate and develop an educational plan. At 12 of the units there was no evidence of any formal feedback between the classification committee and WSS about the inmate's educational level or educational plan.

- We found that educational goals are not always covered in the treatment plan. Only inmates who score less than 6.0 E.A. have educational components in their treatment plans, suggesting that education is a lower priority for those who are not mandated.

  Since a thorough educational assessment is not done at the Central Classification Committee, educational level is not considered a major factor in determining the type of unit in which the inmate is placed. Given this system, initial accessibility for academic and vocational educational programs is largely determined at the central level by the types of educational programs available at the unit where the inmate is placed. Inmate transfers are sometimes made for educational reasons. However, some inmates will not be transferred to a unit and thus be excluded from educational programs because of their custody level.

During the course of the audit interviews, examples were sometimes cited by educational staff of instances in which inmates were transferred shortly before completion of an educational or vocational program. In fact, of those interviewed, turnover rate was seen as the biggest obstacle in providing an effective education program. In these circumstances transfers do disrupt the students' continuity in educational and vocational classes.

- We also found instances in our interviews in which educational and unit correctional personnel worked together to delay transfers until course completion. Problems due to transfers before course completion are a natural outcome of having to balance the needs of population management with those of education. However, the instances of exception when local unit staff are able to delay transfer suggests that improvement in the process could occur.

- We found the Individual Activity Plan to be very brief and provide little information that can be used for matching vocational and educational needs to programs at the various institutions. Generally, academic educational programs are replicated in each of the institutions, but that is not the case with vocational training. Except for mentally and physically handicapped inmates, little priority is given to matching special educational/vocational needs to institutional sites.

- There is little tracking and delivery of educational services for offenders prior to and upon release from prison. The 3R pilot program (Reading to Reduce Recidivism) which terminated in August 1991 sought to bridge the gap of transitional services through computer-assisted education that began during imprisonment and continued during parole. This program had the potential for direct and immediate tracking of educational achievement and for ensuring continuity in educational programming. However this program was discontinued due to "too few and the wrong type of offenders placed in the program". [5]

- Project RIO implements some tracking information but it is limited to the number of inmates enrolled and the number securing employment.

- We also found that information about academic and vocational needs and achievements obtained by probation or parole officers is not consistently or completely transmitted to WSS for their use in developing an educational plan. Information received by WSS counselors is usually in the form of very brief statements, such as the one and two line summaries found in institutional transmittal forms (see for example the Individual Activity Plan). Access to additional details within probation and parole reports may help in verifying educational history, analyzing educational and vocational needs, assessing vocational aptitudes and skills and in evaluating motivational and job related problems.

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[5] Tony Fabelo et al, Criminal Justice Policy Council, 1992.

- We found that case managers do review inmates' educational progress on a six-month basis as policy mandates. A review of some case files verified this finding. However, we are concerned that a lot can happen within six months in the life of the inmate which would not be monitored within the current six months policy.

  Interviews indicated that educational access above the mandatory varies from institution to institution depending on the philosophy of the warden.

- We found the process of assessing vocational needs and matching the inmate to training to be incomplete and haphazard. An objective risk and needs instruments and an objective instrument for vocational assessment, are no longer administered at the Diagnostic Unit at Huntsville. The "vocational" tests that are occasionally administered by educational counselors are unstandardized, sketchy, lack instructions for administration and scoring, and duplicate the educational testing which determines E.A. scores. Additionally, no vocational aptitudes, skills, or interests are addressed. The vocational tests are similar in content and length to the Wide Range Achievement Test, WRAT, which has been used for years to briefly evaluate basic reading and math skills.

- Project RIO focuses in greater detail on vocational history. Included in this assessment is "VOC-TIES", a vocational inventory and exploration survey. VOC-TIES elicits "yes", "maybe", and "no" responses to preference for work in 15 vocational areas such as construction, metals, food service, etc. Also a learning and work styles preference assessment is administered. Although much of the styles assessment focuses on learning styles, a few of the items related to work are similar to the KUDER vocational interest inventory which has been widely used for vocational assessment purposes.

  Even though the information in Project RIO is better structured and contains a few more focused questions, it could not be considered as a detailed vocational aptitude, interest, and skills assessment. In some instances such a limited assessment might be adequate for inmates who have broad based aptitudes and simple interests. However, that is not the case for all inmates. Importantly, not all inmates are screened by Project RIO because of its voluntary nature.

- We found that there were three tracking and placement problems which arise from the way inmates are assessed:

  - Inmates are usually transferred to a prison unit without regard to their vocational education needs and type of vocational training at that unit.

- Inmates are often encouraged to choose one of the locally available vocational training courses located at their assigned unit. Transfers to other units for vocational training purposes are generally not the rule. Furthermore, waiting lists for vocational programs usually give priority to local inmates before accepting placements from outside.
- When parole plans that require vocational training are made, the inmates usually find the only available options exist at their assigned unit. In order to gain entry into a program, some inmates feign interest. (This was a frequently heard statement from both inmates and staff during the audit interviews.)

Overall, the current practices of vocational assessment and placement in vocational training programs represents a less than adequate use of scarce and expensive training resources for a large prison population. This condition is not just a problem facing the Windham School System, but TDCJ as well.

### *7.6.4 Recommendations*

The following recommendations are designed to address problems identified in the findings described above. In several instances improvements already underway in TDCJ and WSS may be adequate to address some of the problems. For these reasons not all findings have corresponding recommendations.

- TDCJ inmate classification policy should be revised to include a comprehensive assessment of offender's educational needs and potential prior to unit assignment. The intent of the policy should be to promote educational placement for those offenders determined most likely to benefit from academic and vocational training. The classification procedure should include the use of a validated, objectively based risk/needs assessment instrument, designed to target specific groups of inmates for priority placement in programs. In addition, the policy should direct that projected length of confinement be considered fully in determining unit and educational placements. The goal of the policy should be to match offenders with programs which they will complete prior to release.
- Methods for improving the flow of educational background information should be instituted. The forthcoming formation of a centralized offender computer file within TDCJ will provide accessibility to existing computer files maintained by probation and parole offices. However, much of the details on education and vocational concerns are not included in existing data files.

- A standardized system of identifying vocational training needs of inmates and assigning them to vocational programs should be developed. In order to improve the method of assigning inmates to vocational training an adequate program of vocational assessment should be instituted. This will include evaluation of vocational skills, aptitudes, and interests, and the coordination of vocational training placements to better match inmate characteristics.

- The system for moving inmates between institutions and release should be monitored to identify additional improvements. Every effort should be made to minimize inappropriate transfers of students during critical times in educational classes or in vocational training. A monitoring process should be designed to bring to attention the number and characteristics of incidents in which inappropriate transfers occur.

- Long range developmental plans should be instituted for improvement of capabilities to evaluate the impact of educational programs. Currently, computerized inmate records do not track many of the outcomes of educational programming. In order to provide sufficient data to evaluate educational program impact, additional information will have to be collected from probation and parole offices, and entered into the centralized inmate data base. Such information would include earnings of offenders, number of days worked, educational programs entered and completed, and reported changes in the quality of life.

### *7.6.5 Implementation Strategies*

Two strategies for improving educational and vocational background information on offenders seem viable.

- The first strategy is to develop simplified formats for recording and transmitting information from probation and parole services to WSS[6]. Problems associated with this undertaking, in the short run, will include trying to establish efficient management of paper flows and identification of needed types of information. The management of paper flows will be a significant problem given the rapid growth in the correctional population. A long range objective would be to create additional data elements that could be incorporated into the centralized offender information system now being developed by TDCJ.

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[6] Information from parole services would be relevant for offenders returning to prison upon parole revocation.

Although the informational need seems simple, the concern involves very complex issues. In order to implement this recommendation an intra-agency group/task force will be required to study the problem and recommend methods for improving the informational flow.

- A second strategy would be to extend the background checking activities of Project RIO to all inmates as part of the initial unit intake process. This duplicates some of the efforts of probation and parole, but may represent a feasible alternative to requiring transmittal of additional records and data from those agencies.
- To develop a standardized system, decisions will need to be made about the selection of assessment instruments and methods for administration and scoring of the tests. The system will also require development of decision criteria for student placement. Since vocational training classes are not as widespread as academic classes, an objective system of assignment will have to be instituted.
- In order to support a process which prioritizes and moves students into vocational programs at institutions which have little excess capacity, computerization of lists and forthcoming openings in programs and institutions will be needed. In addition the process will require revisions in the current procedures for assigning inmates.

## 7.7 Student Services

### 7.7.1 Current Situation

The 1990-91 WSS Annual Performance Report cites the two primary sources of direct student services related to its educational delivery:

- The Guidance Program
- WSS Libraries

This section of the report focuses upon the guidance and library services that are provided to Windham students.

## Guidance Services

The WSS Policies and Procedures Manual states that:

*All inmates enrolled in a WSS academic and/or vocational program are eligible to participate in the guidance program. In addition, all inmates initially coming on a unit will be exposed to the guidance program through the general orientation conducted by the counselor.*

*Inmates interested in the college programs have the benefit of the WSS counselor for assistance in obtaining transcripts, GED scores, etc., to help facilitate enrollment.*

*Counseling, the core of the guidance program is a helping relationship which enables the individual to utilize resources for coping with life. The counseling process involves helping an individual to analyze self and environment, select appropriate solutions to problems, and make realistic life plans. The goal of the guidance and counseling program is to assist students to develop to their fullest potential and to gain those skills necessary to become productive and responsible citizens in the free world.*

*The guidance program consists of the following areas:*

1. *Orientation/Registration*
2. *Academic Consultation*
3. *Teacher/Staff Consultation*
4. *Testing*
5. *Career Awareness/Exploration*
6. *Educational Placement*

## Library Services

The WSS Policies and Procedures Manual lists the following goals and objectives for library services in the WSS:

1. *Develop collections that support all academic programs.*
2. *Include in all collections informative materials for vocational interest of inmates.*
3. *Provide current information through service subscriptions of magazines and newspapers.*
4. *Enlarge social and reading backgrounds through provision of recreational, educational, vocational, and current materials within the library.*

5. *Prepare the individual, through his own efforts, for release and life after prison by usage of materials provided within the library.*

6. *Provide recreational reading to allow the individual an outlet for personal entertainment.*

There are three major differences between libraries in WSS prison units and in those found in a typical public school setting:

1. Unlike public school libraries that typically serve only the students in their schools, WSS libraries serve the general prison population as well as students enrolled in WSS programs.
2. Unlike public school libraries which are required by the Southern Association of Colleges and Schools to operate as learning media centers, WSS libraries cannot have such centers due to security requirements involved in regulating media services. Student use of media is provided through procedures established by the principal and is not considered a library service.
3. Unlike a librarian in a public school setting, each WSS librarian coordinates the operation of the campus library and provides training for inmate librarians. The inmate librarian conducts the daily operations of the library under the supervision of the assigned librarian and principal.

### *7.7.2 Findings*

#### Guidance Services

- In 1990-91, WSS had 44 guidance counselors and 39,555 student inmates, for a ratio of 899 student inmates per counselor.
- For the 1991-92 school year, the number of counselor positions was increased by 10 (23%) to reduce counselor workloads and improve services.
- In 1990-91, 23,412 inmates requested vocational training and the 44 counselors interviewed 17,365 of the inmates (395 interviews per counselor on average) and recommended 12,403 (71% of those interviewed) for placement in vocational programs.

- Among their many duties, counselors are responsible for:
  - maintaining an appropriate number of students per class by identifying and placing students in appropriate programs
  - assisting with administration of the extensive testing program for academic and vocational students.
- When we interviewed counselors on-site in WSS units and asked them to estimate the proportion of their time devoted to their various duties:
  - the majority of counselors estimated spending 40% or more of their time on paperwork
  - most counselors reported spending 25% or more of their time doing individual counseling
  - most counselors reported spending 15% or more of their time in testing students.
- When we asked counselors to identify what they considered the major strengths and weaknesses of the WSS guidance program:
  - students' access to counselors and the system-wide accommodation of students' vocational education needs were the two strengths mentioned most frequently by counselors
  - insufficient staff development and general supervision from the WSS central office was the only area that was frequently cited by counselors as weaknesses of the WSS guidance program.
- Only one professional in the WSS central office, the coordinator of guidance and records, provides technical assistance and staff development for the guidance counselors. However, this position is also responsible for supervising the inmate education records department and coordinating the extensive GED and E.A. testing programs.
- The WSS regional office structure does not include supervisors for the guidance program.
- The WSS employee job descriptions include specifications for two types of counselor positions:
  - the guidance counselor position, which requires a master's degree and a TEA professional counselor certificate and a vocational counselor certificate or eligibility for a permit

- the academic counselor position, which has the same educational and certification requirements as the guidance counselor except for the vocational counselor certification requirement.

However, both positions have the exact same listing of duties and responsibilities.

- Although the 1991-92 school year's 55.5 counselor positions are distributed throughout the WSS with each unit having one or two counselors assigned, the WSS Policies and Procedures Manual has no written procedures or guidelines specified for assignment of counselors based on the number of WSS eligible inmates at the unit or based on the size of the vocational program at the unit.

- As noted earlier in section 7.4.1 on student assessment, counselors play a major role in the extensive testing program of WSS students. Counselors monitor vocational segment exams and they are responsible for administering and scoring the written final exams for all vocational programs.

Library Services[7]

- During the 1991-92 school year, WSS had 40 libraries serviced by 17 librarians:
    - 6 librarians each served only one prison unit
    - 3 librarians each served two different units
    - 4 librarians each served three different units
    - 4 librarians each served four different units

- By federal court order, each prison unit also operates a law library. We found that:
    - although the law library is frequently in a room near to the WSS library in each unit, law libraries are operated by TDCJ-ID and have no relationship with the WSS or its libraries;
    - law libraries are designed to provide all inmates with access to materials they may wish to use for legal research.

- Currently, policies vary by unit relating to inmates' use of WSS library materials both within the libraries and in other prison locations. However, the WSS is developing a standardized set of policies for inmate use of library materials.

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[7] As noted earlier, media services are not part of the WSS libraries. TEA's regional education service centers provide media to Windham schools. For the 1991-92 school year, the centers provided 6,769 instructional video tapes to Windham schools.

- The supervision of the professional librarians is the responsibility of the unit principals. Library Support Services functions as a centralized support group for the unit libraries. The support services provided include:
  - budgeting, purchasing, receiving, and distributing of unit library books, periodicals, reference materials and selection tools;
  - receiving, screening, acknowledging, and distributing of all donated books/materials;
  - cataloging and classifying of all purchased and selected donated books;
  - statistical reporting, grant applications, and administrative research projects;
  - assisting the unit librarian and/or principal with support and technical information.
- Library materials that are requested by unit librarians are processed in the order that they are received.
- The WSS has an excellent *Long Range Plan For Developing the Library Collections of the Windham School System.* The plan includes:
  - guidelines for selection and acquisition of library materials;
  - goals for purchasing new materials and replacing outdated or lost items;
  - goals and priorities for improving the collections in terms of their subject area and proportional coverage.
- The WSS Policies and Procedures Manual includes complete and recently updated (February 1992) procedures regarding WSS library services.
- Results of the annual inventories and other statistics compiled and reported in the WSS Annual Performance Reports are summarized in exhibit 7-22. As seen in the exhibits, between 1984-85 and 1990-91 (a period in which the daily inmate population increased by 33%)[8]:
  - the number of librarians nearly doubled (from 8 to 15);
  - the number of inventoried books increased by 76% (from 156,691 to 271,338);

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[8] The TDCJ-ID FY 91 Statistical Report listed the "on-hand" prison population as being 37,320 in FY 85 and 49,608 in FY 91. "On-hand" refers to a one-time snapshot of the daily population.

## EXHIBIT 7-22

## WSS LIBRARY OPERATIONS SUMMARY
## 1984-85 TO 1990-91

| OVERALL VIEW | 1984-85 | 1985-86 | 1986-87 | 1987-88 | 1988-89 | 1989-90 | 1990-91 |
|---|---|---|---|---|---|---|---|
| Librarians | 8 | 6 | 7 | 9 | 10 | 14 | 15 |
| Library Facilities | 32 | 31 | 31 | 33 | 35 | 40 | 40 |
| Libraries Inventoried | 27 | 27 | 29 | 31 | 33 | 35 | 39 |
| Inventoried Book Total | 156,691 | 179,626 | 196,441 | 225,346 | 222,415 | 249,504 | 271,338 |
| Books Circulated | 111,666 | 143,691 | 164,655 | 181,330 | 219,384 | 235,335 | 323,135 |
| Periodical Subscriptions | 1,233 | 1,270 | 1,201 | 1,245 | 1,247 | 1,630 | 1,636 |
| ***Books Added to WSS Libraries*** | | | | | | | |
| Purchased | 16,886 | 24,663 | 22,966 | 35,688 | 22,699 | 26,905 | 29,201 |
| Donated | 6,121 | 7,670 | 8,283 | 3,878 | 2,598 | 712 | 853 |
| **Total** | **23,007** | **32,333** | **31,249** | **39,566** | **25,297** | **27,617** | **30,054** |
| ***Donations*** | | | | | | | |
| Books | 73,170 | 86,501 | 157,675 | 68,184 | 31,846 | 322 | 801 |
| Magazines | 39,081 | 10,562 | 9,848 | 21,054 | 12,427 | 7,794 | 0 |
| Paperbacks | 192,472 | 195,082 | 161,331 | 235,023 | 167,035 | 207,762 | 205,706 |
| **Total** | **304,723** | **292,145** | **328,854** | **324,261** | **211,308** | **215,878** | **206,507** |

SOURCE: Annual Performance Reports, Windham School System, 1984-85 to 1990-91.

- the number of books circulated increased by 189% (from 111,666 to 323,135);
- the number of annually donated materials decreased by 32% from 304,723 to 206,507. According to WSS officials, the dramatic decrease in the numbers of books and magazines donated in the most recent years was due to changes in tax laws. Publishers can no longer reduce their taxes by donating surplus books and magazines. As a result, the WSS no longer receives donated material from publishers who had been large donors in prior years.

Overall, library materials and personnel grew at a faster rate than the prison population grew during the seven-year period.

- The number of inventoried WSS library books per on-hand inmate increased from 4.2 in 1984-85 to 5.5 in 1990-91. Each unit is required to have five books per inmate or 10 books per student whichever is greater. Unit libraries each must also have a minimum of 35 periodicals and newspapers in their collections.
- The number of books circulated annually per on-hand inmates increased from 3.0 in 1984-85 to 6.5 in 1990-91.

### 7.7.3 *Recommendations*

Guidance Services

- The WSS should reduce the amount of time counselors spend on paperwork (estimated now to be 40%) and increase the amount of time they spend doing individual counseling (estimated now to be 25%).
- The WSS should increase the amount of staff development and general supervision given directly to counselors by the WSS central office staff.
- The WSS should rewrite its job description(s) for either the guidance counselor position and/or the academic counselor position, since the two position descriptions are now identical.
- The WSS should adopt written policies or procedures for determining the number of counselors assigned to each unit school.

Library Services

- The WSS library services have improved greatly in recent years and appear to be effective and efficient at this time. We recommend no changes in library services at this time.

### 7.7.4 *Financial Impact*

- No recommendation for the students services component of our review have cost savings implications.

### 7.7.5 *Implementation Strategies*

- To reduce the amount of time counselors spend on paperwork and use this time to do more counselling, WSS administrators should meet with counselors to identify those paperwork activities that counselors now do that could instead be done by paraprofessional or clerical staff. WSS could also establish guidelines for minimum amounts of time counselors should spend doing individual counselling.

- To meet counselors' expressed need for more staff development and supervision directed toward their specific functions, the superintendent should direct regional administrators to identify and provide the additional staff development and central office supervision required by the counselors in their region.

- Before revising counselors job description, or adopting written procedures or guidelines for determining the number of counselors assigned to each unit, WSS administrators should solicit input from the counselors to obtain suggestions for changes and to be fully aware of unique circumstances that should be considered.

# 8.0 FINDINGS AND RECOMMENDATIONS RELATED TO PLANNING, BUDGETING, AND FINANCIAL MANAGEMENT

# 8.0 FINDINGS AND RECOMMENDATIONS RELATED TO PLANNING, BUDGETING, AND FINANCIAL MANAGEMENT

## 8.1 Introduction

This section of the report addresses those educational management functions associated with planning, budgeting, and financial management, including internal and external auditing.

## 8.2 Planning and Budgeting

The planning and budgeting component includes those system-wide activities involved in establishing intermediate and long-term goals and objectives, projecting the numbers of students to be served system-wide and by site, developing program plans for achieving the goals and objectives, translating program plans into fiscal requirements, allocating available resources among the schools and support units, and monitoring compliance with budgets throughout the fiscal year.

### 8.2.1 Description of Current Situation

Windham School System - Planning

- The Windham School System has a planning and evaluation office which is staffed with a single Coordinator of Planning and Evaluation. The planning responsibilities of the position include:
    - develops long- and short-range objectives and goals;
    - coordinates district departmental planning and development;
    - works cooperatively with others in developing district goals;
    - develops WSS annual calendar;
    - evaluates special situations concerning Windham enrollment for attendance accounting purposes.

- No other Windham staff have specific responsibilities for developing long-term plans in their job descriptions although many staff job descriptions include a responsibility for "planning".

- Windham annually produces, and the Board of Criminal Justice acting as the Windham School Board approves a set of specific quantifiable educational outcome goals for which attainment can be measured. Exhibit 8-1 presents the 1991-92 goals for the Windham School System.

- In addition to its annual Board-approved goals, Windham also develops a more extensive document which identifies activities which Windham organizational entities will perform to accomplish each of the goals. Exhibit 8-2 presents an excerpted page from the more extensive 1991-92 goals statement.

- The Windham Business Office periodically prepares a four-year projection of contact hours and expenditures for the WSS. This exercise is done primarily to support the long-term planning efforts of TDCJ and the TEA.

    - Contact hours are estimated based on the number of new units coming on line, with per unit counts based on existing averages. Projected contact hours for existing units are assumed to remain constant.

    - Expenditures, which implicitly assume that the same programs will be provided in the same manner, are projected based on historical relationships between contact hours and cost.

- In addition to its annual goals and objectives, Windham periodically produces (or participates in) other specific planning documents including:

    - campus improvement plans
    - new unit construction plans
    - TDCJ long-range plans
    - TDCJ five-year data processing plan
    - annual activity calendar
    - safety plan
    - microfilm plan
    - TDCJ plan for record keeping
    - employee training plan
    - TEA strategic plan
    - TDCJ-ID strategic plan
    - guidance plan

- The Windham School System has no District Improvement Plan as required by statute for school districts throughout Texas, nor could we obtain verification from TEA or WSS administrators that WSS is exempt from the development of a District Improvement Plan.

## EXHIBIT 8-1

## 1991-92 GOALS FOR THE WINDHAM SCHOOL SYSTEM

I. Student Achievement of Academic Excellence Indicators

There will be an average student growth gain of one grade level equivalent after 100 hours of academic instruction.

There will be average student growth gains among special education students by handicapping condition after 100 hours of instruction:

a. learning disabled = .7 grade levels
b. hospitalized students = 1.0 grade levels
c. Mentally Retarded = .3 grade levels

There will be an average student growth gain of .5 grade levels for English as a Second Language (ESL) students after 100 hours of instruction.

Sixty percent of students taking all parts of the GED for the first time will pass the battery.

Forty-five percent of students taking all parts of the GED as retesters will pass the battery.

Sixty-five percent of students taking the Writing Test of the GED battery will past that test.

Sixty percent of students taking the Mathematics Test of the GED battery will pass that test.

Six percent of students passing the writing portion of the GED test will score a composite of 8 or better on the essay portion.

Seventy-five percent of those students taking a GED test will pass all tests attempted.

Increase oral language proficiency of ESL students as measured by the Language Assessment Scales by at least one level.

Ten percent of LEP identified students who participate in the ESL program during 1991-92 will be placed in the regular academic program due to increased language proficiency during the school year.

Thirty percent of mandatory students will increase their literacy level above the 5.9 grade equivalent level during 1991-92.

Sixty-five percent of students who participate in Phase III classes will pass the GED Test Battery.

There will be an increase of three points in the final numerical course grade of vocational participants.

Vocational participants completing a 150-hour course segment will demonstrate mastery of 80% of course objectives.

### EXHIBIT 8-1 (CONTINUED)

II. Participation and Attendance

Increase the percent of vocational participants completing a 600-hour course of instruction by 3%.

Increase the percent of vocational participants completing a 450-hour course of instruction by 4%.

Increase the percent of vocational participants completing a 300-hour course of instruction by 5%.

Increase the percent of vocational participants completing a 150-hour course of instruction by 6%.

Fifty percent of all vocational short course participants will complete all the course objectives for course(s) in which enrolled.

III. Instruction

Develop and implement lead teacher concept on each unit.

Develop and implement In-Cell Study Program teacher coordinator concept on each unit as appropriate.

IV. Management

Complete SACS accreditation visit by January 1992.

Reduce to zero the accident rate among students and employees of Windham School System.

Reduce by 50% the number of reportable safety deficiencies cited in each education facility.

Comply 100% with requirements of the Hazard Communication legislation on each unit.

Monitor unit level vocational selection/placement practices to determine adherence to policy/procedure.

V. Program Development and Evaluation

Provide every inmate student with information about drug abuse and sources for help with addictions.

Increase circulation of library materials on each unit.

Reduce library book loss on each unit.

Implement vocational short course(s) on every unit.

Analyze college preparation classes to determine appropriate selection and placement criteria for student participation.

## EXHIBIT 8-2
## EXCERPT FROM WSS 1991-92 GOALS STATEMENT

| | | |
|---|---|---|
| b. Identify and make application to appropriate funding agencies to procure special project monies, entitlements, and other funds to expand academic program development. | Johnson | Tracy |
| B. Vocational | | |
| 1. Provide every inmate student with information about drug abuse and sources for help with addictions. | | |
| a. Northern Region | | |
| 1) establish effective methods to coordinate drug related topics in content areas | Supv. | Burd |
| 2) select appropriate drug related materials for use in a correctional setting | Supv. | Burd |
| 3) provide supervisory assistance in establishing effective methods to coordinate drug related topics in content areas | Supv. | Burd |
| b. Central Region | | |
| 1) provide teachers with strategies for integrating drug education into academic instruction | Supv. | Burd |
| c. Southern Region | | |
| 1) identify materials and allocate resources for the most effective presentation of a substance abuse awareness program | Tyler | Burd |
| i. Vocational Dept. | | |
| 1) include drug awareness in all vocational curriculum | Farris | Hickl |
| 2. Implement vocational short course(s) on every unit. | Farris | RA's |
| 3. Monitor unit level vocational selection/placement practices to determine adherence to policy/procedure. | | |
| l. Testing | | |
| 1) use a standardized vocational assessment instrument system-wide to place students in vocational education programs | McDaniel | |
| C. Special Populations | | |
| 1. Provide every inmate student with information about drug abuse and sources for help with addictions. | | |
| a. Northern Region | | |
| 1) select appropriate drug-related materials for use in a correctional setting | Supv. | Burd |
| b. Central Region | | |
| 1) provide teachers with strategies for integrating drug education into academic instruction | Supv. | Burd |
| c. Southern Region | | |
| 1) identify materials and allocate resources for the most effective presentation of a substance abuse awareness program | Tyler | Burd |
| e. Curriculum/Special Populations Department | | |
| 1) begin revision to the special education life skills objectives to incorporate drug awareness and transition objectives and a record keeping system for objectives mastered. | Yawn | Spec Ed Supv |

## Windham School System - Budgeting

- The Windham School System administered $37.9 of expenditures in FY 91, including:

| SOURCE | $ MILLION |
|---|---|
| Foundation School Program (FSP) Funds | $29.1 |
| Federal Sources | 1.1 |
| State Appropriation to TDCJ | 5.5 |
| Local TDCJ Funds | 2.2 |
| TOTAL | $37.9 |

- Prior to FY 1992, the basis for FSP funding was average daily attendance (ADA). The formula is now based on contact hours. Windham's annual allocation of FSP funds from the state is based upon the following student contact hour funding formula:

| TYPE OF INSTRUCTION | DOLLARS/CONTACT HOUR |
|---|---|
| Academic | $3.23452 |
| Vocational Education | $2.88743 |
| Special Education | $5.65945 |
| Bilingual Education | $0.62265 |

- The formula is based upon the average student contact hours for the highest 180 out of 220 school days in recognition of the fact that Windham's expenses continue on days when lock downs or other factors beyond the school's control prevent inmates from attending classes.
- The current FSP funding formula is based upon budgeted FY 90 costs per contact hour. The formula contains no inflation factors and, hence, has remained the same since 1990. Funding is based on projected contact hours and is adjusted periodically to reflect actual hours. Currently, these adjustments are made twice a year.
- The allocation of the $37.9 million among the schools and the central office organizational entities are made in three separate budgets:

  1. Foundation School Program (FSP) Budget
  2. Federal Funds Budget
  3. TDCJ Budget

  Budgeted amounts are allocated to units and programs using several different approaches. Below is a description of how dollars for major resources are allocated.

- **Windham - Teachers**. Although the Windham budgeting process for teachers is not based upon standard student/teacher ratio by type of program, as shown in exhibit 8-3, the teaching resources are targeted to achieve levels within class enrollment ranges by program type.

EXHIBIT 8-3

CLASS SIZE RANGES BY PROGRAM TYPE

| PROGRAM TYPE | MINIMUM CLASS SIZE | MAXIMUM CLASS SIZE |
|---|---|---|
| *Academic* | | |
| Phase I | 16 | 22 |
| Phase II | 18 | 25 |
| Phase III | 18 | 25 |
| ESL | 16 | 22 |
| Social & Civic Classes | 18 | 25 |
| *Special Education* | 6 | 14 |
| *Vocational Education* | | |
| Regular | 12 | 20 |
| VEH | 10 | 14 |
| CVAE | 12 | 20 |
| Short-Term Vocational | 12 | 20 |

Within this framework, the principal of each school, the regional administrator, and the business director determine the number of teachers needed to serve the anticipated enrollment in each program. Other factors, such as classroom space, also influence the number of teachers in a particular unit.

- **Windham - Supplies and Materials**. Dollars are allocated to supplies and materials based on formulas developed and maintained by the Business Office. These formulas are based on a rolling five-year average for materials and supplies cost per student inmate, and are disaggregated by program and by type of class.
- **Windham - Capital Outlay**. The Windham School System maintains lists of standard equipment needed to provide programs and specific types of classes. The lists provide the basis for allocating dollars for capital expenditures. Supplemental requests must be justified.

## TDCJ Budget

- The TDCJ budget includes TDCJ state appropriations and local funds. In FY 92, $9,154,530 was allocated by TDCJ to the following programs:

| | |
|---|---|
| Postsecondary education | $4,152,249 |
| Project RIO | $2,100,193 |
| Education and Recreation (E&R) Programs | $2,902,088 |
| **TOTAL** | **$9,154,530** |

Budgets for Project RIO and E&R programs are developed by unit personnel responsible for these areas. Postsecondary budgets are prepared by the unit principals. Historically, the starting point for TDCJ allocations has been the level of prior year expenditures. Deviations from this level had to be justified. Currently, TDCJ is in the process of moving toward a strategy-based budget. This new statewide approach to budgeting is expected to provide better linkage between expenditures and objectives.

Of the $4.1 million spent on postsecondary education:

- $1.75 million or 42% is spent on third party providers (11 Texas colleges and universities) for vocational education, junior college instruction and senior college instruction. The state pays (through TDCJ appropriations) for the first three hours of instruction per week for each inmate. Any instruction above the three hour limit is paid out of the prisoner's trust fund. The tuition payments to the colleges and universities are paid at the same rate as free world students pay. Since tuition revenue usually covers 20% to 25% of the total costs, the remaining 75% to 80% is paid by the colleges and universities from tax revenues.

- $1.8 million or 43% of the postsecondary budget is spent on salaries. In FY 92, there were 54 test examiners/instructional aides and 27 Central Office personnel in the postsecondary budget. Each unit is allocated two test examiners/instructional aides.

- $.55 million is used for administration and other operating costs.

- There is a separate component of Windham-related expenditures for start-up costs of new units which is funded by TDCJ. Prior to FY 91, these amounts were funded through the Foundation School Program (before the formula was changed to a contact hour basis). Currently, the TDCJ funds these costs through a "Capacity Funds" budget which is maintained and controlled by TDCJ. Consequently, these amounts are not included in the $9.1 million described above.

Start-up costs are allocated based on standard lists of equipment, supplies, and books which are needed to start a program in a new unit. Costs incurred in starting a program in an existing unit are considered operating requirements and must be covered by Foundation School Program Funds. In FY 90, start-up costs for new units was $2.8 million.

Federal Funds Budget

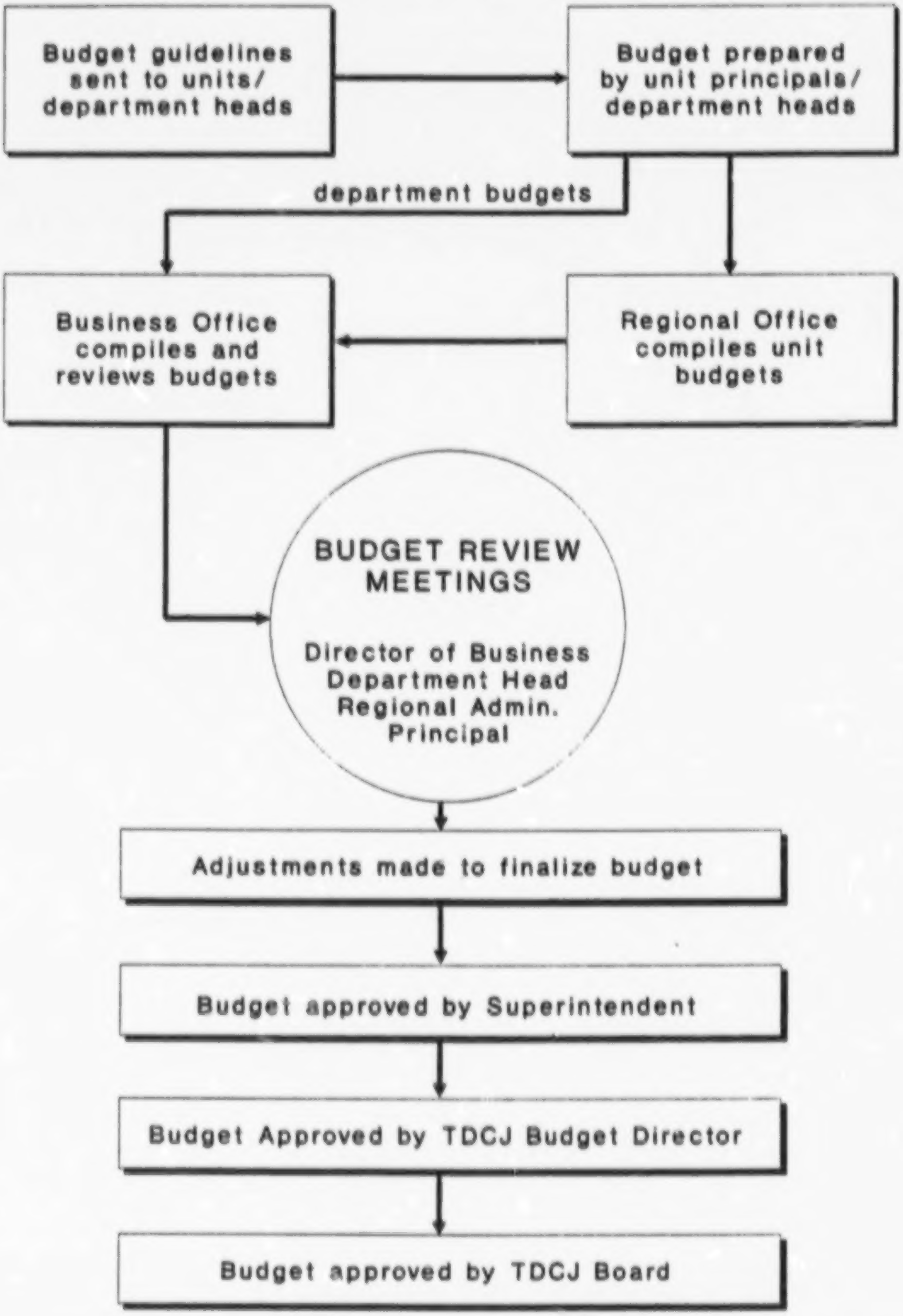
- The Windham Central Office is responsible for developing applications for federal funds and allocating federally-funded dollars to the units. All federal funds are budgeted at the system level.

Windham School System - Budget Development

- The Windham Business Director is primarily responsible for the development of the annual budget for all fund sources of the Windham School System. This process begins with the mailing of budget guidelines in February, and culminates in the approval of the budget by the TDCJ Board in July. Exhibit 8-4 presents an overview of the budget process. Below is a description of some of the major components of this process.
    - The one-year budget cycle begins February 1 of each year, when each department and unit receive a budget package and instructions.
    - Units may request amounts above allocated amounts, but must justify their request.
    - Budgets are forwarded to the Regional Administrator, who reviews them and submits them to the WSS Business Director. The Business Director combines the proposed budget and compares to the revenue estimates for the coming year.
    - A budget review meeting (or conference call) is conducted for each budgeted unit. Unit principals have the chance to make their case to the Regional Administrator and the Business Director. Department heads also have this same opportunity.
    - A recommended budget is compiled by the Business Office and submitted to the Deputy Director and Superintendent for approval. The WSS budget is then submitted to the TDCJ Budget Director for approval and ultimately submitted to the TDCJ Board for approval in July. Budgeted amounts funded by TDCJ state appropriations are submitted to the TDCJ Institutional Division for approval. These amounts are incorporated into TDCJ's annual budget.

EXHIBIT 8-4

## WSS BUDGET DEVELOPMENT PROCESS PUBLIC UNITS


Budget guidelines sent to units/ department heads
Budget prepared by unit principals/ department heads
department budgets
Business Office compiles and reviews budgets
Regional Office compiles unit budgets
BUDGET REVIEW MEETINGS
Director of Business
Department Head
Regional Admin.
Principal
Adjustments made to finalize budget
Budget approved by Superintendent
Budget Approved by TDCJ Budget Director
Budget approved by TDCJ Board

## Windham School System - Budget Control

- Once the fiscal year begins, a weekly budget/variance report is provided to all unit principals and other department heads. In addition to budget reporting, the following controls are in place to control expenditures on an ongoing basis:
  - An encumbrance system is used to assure that requested expenditures do not exceed budget limitations.
  - All new and replacement positions during the year must be approved by the WSS Business Director.
  - All expenditures greater than $5,000 must be approved by the TDCJ Budget Director.
- Budget transfers may be enacted during the year. Within approved budgeted line items, the Business Director has the authority to approve transfers or adjustments. All other adjustments must be approved by the superintendent.
- The budget reporting system and the budget formulas are currently maintained on a PC by the Business Office using software developed in-house. TDCJ also maintains WSS budget information on its computer system. The Lone Star system, TDCJ's version of the statewide accounting system, is expected to allow unit principals to access budget data on-line from their respective units; however, there are not immediate plans to do this in each of the units.

## Privately-Managed Units - Budgeting

The budget process in private units varies by contractor. CCA units do not have a budget for education expenditures. The level of expenditures is essentially dictated by the warden at each unit. Wackenhut units, on the other hand, have a systematic budget development process which is closely tied to the planning process for each unit. Educational personnel at Wackenhut units are actively involved in the development of the budget, and receive budget/variance reports to control costs. Expenditures at private units must fall within a per diem limit established by the TDCJ Institutional Division. The WSS Business Office is not involved in the development or monitoring of budgets for the private units.

### 8.2.2 Findings

Windham School System - Planning and Budgeting

*Exemplary Programs*

- The annual goals established by Windham and approved by the Board are:
    - results oriented
    - specific
    - quantifiable
    - measurable

- The budgeting process (exhibit 8-4) currently used by Windham effectively involves all relevant decision-makers. Unit and central office managers have sufficient information for decision-making and adequate opportunity for input into the budget allocation process.

- WSS exercises strong budgetary control. The combination of an encumbrance system and the weekly budget/variance reports provide principals, department heads and WSS management with the capability to control expenditures against the budget. TDCJ personnel indicated that they are also impressed with the effectiveness of WSS in managing their budget.

*Opportunities for Improvement*

- The activities identified for each of the relevant organizational entities to achieve Windham's annual goals are vague and inconsistent from one organizational entity to another. In fact, the activities give the appearance of being a compilation of individual organizational lists rather than being a detailed, organized plan for accomplishing the goals.

- While Windham produces many discreet planning documents, the system has no comprehensive, multi-year planning document which:
    - identifies which inmates are to be served and which are not to be served
    - projects future enrollments by unit by program
    - identifies the programs to be offered at each unit to serve the projected enrollments and accomplish established goals
    - projects future staffing and other resource needs of planned programs
    - projects future facility and equipment needs required of planned programs

- Windham has no planning office responsible for developing a multi-year comprehensive plan.

- The absence of a comprehensive plan creates the impression that Windham does not know where it is going and has no vision for the future. Further, it leads to conflicts among administrators, as each creates his or her own vision and works toward that vision. Our interviews with administrators produced many different visions of Windham's future which need to be brought together in a single comprehensive plan.

- While Windham's budget process effectively involves all relevant decision-makers, it does not ensure the efficient use of resources. The allocation of teacher units results in an average class size which is at or below the low end of the range targeted by WSS management.

- Our analysis of a randomly selected week (which turned out to be a high student contact hour week as explained in Chapter 7, exhibit 7-11) revealed significant inefficiencies in student/teacher ratios which result from the budgeting process.

- As shown in exhibit 8-5, (also shown earlier in Chapter 7 as exhibit 7-12) the average class enrollment for Windham academic (including pre-release) classes was only 17 students per class with some units having averages as low as 10 while others had averages as high as 23.

  Since the units experienced an attendance rate of 90.6% during the selected week, the actual average class size was only 15.5.

  Given that our selected sample week for analysis was one of the higher contact hour weeks for the year, the actual average academic class size for the whole year is probably below 15.

- The average academic class has 32 student stations (calculated at 20 square feet per student station). Thus, the current average class enrollment of 17 for our sample week was only 53% of the average classroom capacity.

- Our sample week analysis also included data on vocational courses. As shown in exhibit 8-6 (also shown earlier in Chapter 7 as exhibit 7-13), the average class enrollment for vocational courses was only 16 students. Some units had average enrollments as low as 8, while others had as high as 22 per class.

- The average number of student stations per classroom in vocational education courses is 19.4. Thus, the average class enrollment for our sample week was only 82.4% of the average classroom capacity.

- Since the vocational courses averaged a 90% attendance rate during our sample week, the average actual class size was only 14.4.

# EXHIBIT 8-5
# TEACHER WORKLOADS BY WSS SCHOOL ACADEMIC COURSES
(Week of March 9 - 13, 1992)

| UNIT | NO. OF TEACHERS* | NO. OF CLASSES | AVG ENROLLMENT PER CLASS | AVG CLASSROOM HRS/TCHR/DAY | AVG ENROLLED STU CONTACT HRS/TCHR/DAY | AVG ACTUAL STU CONTACT HRS/TCHR/DAY | % OF STU PRESENT |
|---|---|---|---|---|---|---|---|
| Beto I | 19 | 37 | 15 | 5.8 | 90.0 | 79.1 | 87.9 |
| Beto I MROP | 22 | 43 | 12 | 5.9 | 71.5 | 64.9 | 90.7 |
| Beto II | 9 | 20 | 17 | 6.7 | 106.7 | 100.9 | 94.6 |
| Briscoe | 5 | 10 | 10 | 6.0 | 64.4 | 55.2 | 85.7 |
| Central | 7 | 14 | 19 | 6.0 | 118.0 | 103.2 | 87.5 |
| Clemens | 10 | 24 | 20 | 6.2 | 127.7 | 117.6 | 92.1 |
| Clements | 14 | 28 | 16 | 6.0 | 98.0 | 86.4 | 88.2 |
| Coffield | 15 | 30 | 23 | 6.0 | 136.4 | 116.8 | 85.6 |
| Daniel | 12 | 23 | 17 | 5.8 | 98.5 | 92.8 | 94.2 |
| Darrington | 11 | 24 | 18 | 6.5 | 120.0 | 98.2 | 81.8 |
| Eastham | 10 | 21 | 18 | 6.3 | 113.8 | 102.5 | 90.0 |
| Ellis I | 10 | 12 | 23 | 5.5 | 116.4 | 109.2 | 93.8 |
| Ellis II | 14 | 32 | 16 | 6.4 | 102.4 | 89.6 | 87.5 |
| Ferguson | 17 | 38 | 16 | 6.7 | 98.4 | 89.4 | 90.9 |
| Gatesville | 21 | 45 | 16 | 6.0 | 95.1 | 86.6 | 91.0 |
| Goree | 4 | 6 | 19 | 3.9 | 74.4 | 69.3 | 93.1 |
| Hightower | 15 | 30 | 17 | 6.0 | 99.6 | 94.0 | 94.4 |
| Hilltop | 14 | 27 | 16 | 5.4 | 85.6 | 75.6 | 88.3 |
| Hobby | 14 | 28 | 21 | 6.0 | 126.0 | 118.0 | 93.7 |
| Hughes | 10 | 28 | 21 | 6.2 | 101.9 | 91.8 | 90.1 |
| Huntsville | 10 | 29 | 13 | 8.1 | 99.8 | 85.3 | 85.5 |
| Jester I | 4 | 8 | 23 | 6.0 | 144.0 | 136.8 | 95.0 |
| Jester II | 5 | 11 | 10 | 5.7 | 62.9 | 55.4 | 88.1 |
| Jester III | 13 | 28 | 17 | 6.0 | 103.8 | 93.9 | 90.5 |
| Lewis | 15 | 30 | 19 | 6.0 | 116.8 | 111.2 | 95.2 |
| Michael | 9 | 27 | 18 | 6.0 | 96.6 | 84.6 | 87.6 |
| Mountain Vw. | 6 | 13 | 14 | 6.5 | 78.4 | 72.4 | 92.3 |
| Pack I | 14 | 34 | 15 | 7.3 | 109.3 | 102.5 | 93.8 |
| Pack II | 11 | 24 | 17 | 7.0 | 108.2 | 98.2 | 90.7 |
| Ramsey I | 11 | 26 | 17 | 6.1 | 104.0 | 98.3 | 94.5 |
| Ramsey II | 5 | 10 | 19 | 5.6 | 105.6 | 96.0 | 90.9 |
| Ramsey III | 13 | 32 | 17 | 6.4 | 110.3 | 99.4 | 90.2 |
| Retrieve | 6 | 15 | 20 | 6.0 | 115.5 | 105.5 | 91.3 |
| Roach | 13 | 26 | 15 | 5.6 | 88.8 | 82.4 | 92.8 |
| Skyview | 10 | 20 | 11 | 6.0 | 62.0 | 48.4 | 78.1 |
| Wynne | 11 | 22 | 22 | 6.0 | 122.0 | 110.8 | 90.8 |
| TOTAL | 409 | 875 | n/a | n/a | n/a | n/a | n/a |
| AVG | 11.4 | 24.3 | 17.1 | 6.2 | 104.3 | 94.5 | 90.6 |

* Number of teachers includes those hired on a contract basis to teach short courses.

Source: WSS Administrative Office

## EXHIBIT 8-6
## TEACHER WORKLOADS BY SCHOOL FOR VOCATIONAL COURSES
### (Week of March 9 – 13, 1992)

| UNIT | NO. OF TEACHERS* | NO. OF CLASSES | AVG ENROLLMENT PER CLASS | AVG CLASSROOM HRS/TCHR/DAY | AVG ENROLLED STU CONTACT HRS/TCHR/DAY | AVG ACTUAL STU CONTACT HRS/TCHR/DAY | % OF STU PRESENT |
|---|---|---|---|---|---|---|---|
| Beto I | 8 | 8 | 18 | 6.0 | 106.6 | 94.0 | 88.2 |
| Beto I MROP | 6 | 10 | 8 | 8.3 | 69.0 | 58.3 | 84.5 |
| Beto II | 5 | 6 | 16 | 7.2 | 115.7 | 108.0 | 93.4 |
| Briscoe | 3 | 3 | 12 | 6.0 | 82.8 | 75.6 | 91.3 |
| Central | 5 | 5 | 17 | 6.0 | 104.2 | 86.6 | 83.1 |
| Clemens | 6 | 7 | 18 | 6.8 | 119.0 | 109.2 | 91.8 |
| Clements | 7 | 9 | 14 | 6.9 | 98.5 | 90.3 | 91.6 |
| Coffield | 6 | 7 | 17 | 7.0 | 117.8 | 102.4 | 86.9 |
| Daniel | 6 | 7 | 15 | 7.0 | 107.8 | 101.3 | 93.9 |
| Darrington | 3 | 3 | 19 | 6.0 | 114.8 | 99.4 | 86.6 |
| Eastham | 5 | 5 | 20 | 6.0 | 119.6 | 111.8 | 93.5 |
| Ellis I | 5 | 6 | 15 | 6.0 | 84.2 | 73.2 | 86.9 |
| Ellis II | 8 | 10 | 14 | 7.5 | 102.0 | 92.0 | 90.2 |
| Ferguson | 13 | 15 | 17 | 6.5 | 109.8 | 100.6 | 91.6 |
| Gatesville | 7 | 10 | 13 | 5.7 | 87.1 | 79.4 | 91.1 |
| Goree | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Hightower | 6 | 8 | 13 | 8.0 | 106.4 | 102.9 | 96.7 |
| Hilltop | 5 | 5 | 16 | 5.2 | 78.8 | 75.6 | 95.9 |
| Hobby | 6 | 6 | 19 | 6.0 | 115.8 | 110.5 | 95.5 |
| Hughes | 6 | 6 | 19 | 6.0 | 113.6 | 106.8 | 94.0 |
| Huntsville | 2 | 2 | 22 | 4.6 | 94.6 | 85.4 | 90.3 |
| Jester I | 2 | 2 | 16 | 2.4 | 39.4 | 7.8 | 19.8 |
| Jester II | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Jester III | 7 | 8 | 18 | 5.9 | 110.6 | 99.9 | 90.3 |
| Lewis | 6 | 7 | 15 | 7.0 | 104.5 | 99.4 | 95.1 |
| Michael | 6 | 7 | 20 | 6.8 | 139.8 | 112.5 | 80.5 |
| Mountain Vw. | 5 | 10 | 10 | 8.8 | 102.0 | 89.6 | 87.8 |
| Pack I | 6 | 7 | 14 | 5.4 | 82.8 | 77.2 | 93.2 |
| Pack II | 9 | 12 | 14 | 6.7 | 92.3 | 83.7 | 90.8 |
| Ramsey I | 4 | 5 | 19 | 6.5 | 126.5 | 118.5 | 93.7 |
| Ramsey II | 1 | 1 | 16 | 6.0 | 94.8 | 88.4 | 93.2 |
| Ramsey III | 8 | 11 | 16 | 7.4 | 99.0 | 84.4 | 85.3 |
| Retrieve | 1 | 2 | 18 | 8.4 | 146.4 | 145.2 | 99.2 |
| Roach | 5 | 5 | 19 | 6.0 | 120.2 | 113.6 | 94.5 |
| Skyview | 3 | 7 | 11 | 7.0 | 79.3 | 62.5 | 78.8 |
| Wynne | 6 | 6 | 17 | 6.0 | 103.2 | 95.2 | 92.2 |
| TOTAL | 187 | 228 | n/a | n/a | n/a | n/a | n/a |
| AVG | 5.5 | 6.7 | 16.0 | 6.5 | 106.3 | 95.6 | 90.0 |

*Number of teachers includes those hired on a contract basis to teach short courses.

Source: WSS Administrative Office

- The allocation of other resources, such as supplies, are based on historical levels which may or may not represent efficient levels of usage.

## Private Units

### *Exemplary Programs*

- The two Wackenhut units establish annual education budgets within which the school principal must manage the schools. The budgets are established jointly by the school principals and warden in each unit.

### *Opportunities for Improvement*

- The two CCA units reported that they have no education budgets. When a principal or teacher wants additional supplies, equipment or other resources they must submit a request to the warden who makes a decision according to the overall status of the unit's revenues and expenditures. In some cases, principals and teachers make repeated requests for basic supplies (e.g., pencils and paper) and sometimes either bring their own or operate without basic supplies. Our on-site findings show that this was especially true at the Cleveland Unit.

- The budget development process in private units is overly dependent on the capabilities and priorities of the contractor. The wide range in effectiveness between the two contractors indicates that TDCJ has not included in its contracts with the private units sufficient contractual requirements related to planning and budgeting.

- As shown in exhibit 8-7, the average class sizes in the Kyle Unit (for both academic and vocational) and the Venus Unit (for academic) are low.

EXHIBIT 8-7

AVERAGE CLASS SIZE IN
PRIVATELY-MANAGED UNITS [a/]

| UNIT | ACADEMIC CLASSES | VOCATIONAL CLASSES |
|---|---|---|
| **Wackenhut** | | |
| Kyle | 13 | 15 |
| Bridgeport | 23 | 20 |
| **CCA** | | |
| Venus | 17 | 19 |
| Cleveland [b/] | -- | -- |

[a/] Derived from data furnished by the units.
[b/] CCA did not submit requested data for the Cleveland Unit.

### *8.2.4 Recommendations*

Windham School System

We recommend that the Windham School System:

- Establish a separate planning, budgeting, and evaluation office consisting of four professionals plus one support staff by transferring staff from the following offices:
  - Planning and Evaluation (one professional position)
  - Finance (one professional position)
  - Regional Offices (two professional positions and one support position)
- The new planning, budgeting and evaluation office be charged with the following responsibilities:
  - developing (working with TDCJ staff) a data base and annually preparing a report which measures the effectiveness of the correctional education programs utilizing recidivism and other criminal justice performance measures (see Chapter 11)
  - conducting annual studies of the efficiency of Windham operations (e.g., class size analyses, utilization of space, teacher work loads, counselor work loads, etc.)
  - preparing and updating an annual comprehensive multi-year plan for corrections education (including elementary, secondary, and postsecondary academic and vocational as well as all special programs) including the privately managed units which includes:
    - performance goals
      - inmate students to be served
      - programs to be offered at each unit
    - projected enrollments by program by unit
    - projected staffing and resources needed by each unit
    - projected facility and equipment needed by each unit
    - projected revenues by source
  - conducting an annual evaluation to determine whether the goals and objectives contained in the plan were achieved

  - preparing the annual budget for all programs and fund sources in a single comprehensive budget which shows substantive linkage between the WSS planning and budgeting functions

  - working with TDCJ officials to develop all facility plans.

- Increase the average academic class enrollment for budgeting purposes to 20.5 for academic (including pre-release) courses and 18 for vocational courses.

  - The average academic class has 32 student stations (calculated at 20 square feet per student station). Thus, the current average class enrollment of 17 for our sample week was only 53% of the average classroom capacity.

  - Increasing average class sizes to 20.5 students (22 for regular courses and 12 for special education and ESL courses) would either allow the schools to increase the number of academic students served by current staff by 32.2% or decrease the number of needed academic teaching positions by 24%.

  - Increasing the average enrollment per class to 18 would allow Windham to serve 12.5% more vocational students or reduce the number of needed vocational teachers by 11%.

- Conduct a special review of the causes of current low class enrollments and high absenteeism rates, and take appropriate corrective actions.

- Develop and include in its 1992-93 biennium budget request a revised appropriations funding formula which reduces the dollar per student contact hour for each funding category (academic, vocational education, special education and bilingual education) in accordance with the above recommended increases in classes sizes.

Private Units

- We recommend that CCA establish an annual set of educational performance goals, a plan for meeting those goals, and an educational budget which can be used by the CCA school principals to manage their programs.

- We recommend that the education portion of the TDCJ management contracts with Wackenhut and CCA be significantly strengthened to include for each unit:

  - specific educational programs to be provided

  - specific numbers of annual student contact hours to be achieved

  - specific educational performance objectives to be achieved

  - specific levels of educational counseling to be provided

  - requirements that an annual educational budget be established for each unit and submitted to TDCJ for information
  - requirement that annual education performance and expenditure reports (in the same format as the budget) be submitted for each unit to the TDCJ to provide evidence for contract efficiency and effectiveness.

  We further recommend that WSS monitor the implementation of the above contractual obligations as part of the annual monitoring review.

- We recommend that the Wackenhut Kyle Unit increase its average class sizes from 13 to 20.5 for academic courses and from 15 to 18 for vocational courses.
- We recommend that the CCA Venus Unit increase its average class sizes from 17 to 20.5 for academic classes.

### *8.2.5 Financial Impact*

- The staffing for the recommended new planning, budgeting, and evaluation office can be accomplished at no additional cost by transferring existing staff from other less essential functions.
- The use of increased average class sizes for budgeting academic courses (including ESL and special education to an average of 20.5) will either decrease costs by an estimated $3.56 million per year, or increase the number of students served by current staff by 32.2% upon full implementation. (Based on a 24% reduction of 400 teachers times $33,791 per teacher, plus 10% for fringe benefits).
- The use of increased average class sizes for budgeting for vocational courses will either decrease costs by an estimated $635 thousand or increase the number of students served by existing staff by 12.5% (cost savings based on 11% reduction in 169 vocational teachers times $32,091 per teacher, plus 10% for fringe benefits by 1994).
- The increased class size at the Wackenhut Kyle Unit will allow the unit to either increase the number of students served per week at no additional costs by 57 or reduce the number of teachers by two, saving approximately $52,145 per year ($24,831 average salary times two plus 5% fringe benefits).
- The increased class sizes at the CCA Venus Unit will allow the unit to either increase the number of students served per week at no additional cost by 38 or reduce the number of teachers by two, saving approximately $48,400 per year ($22,000 average salary times two positions plus 10% fringe benefits).

### *8.2.6 Implementation Strategies*

To implement the above strategies we recommend:

- Immediate creation of the new planning, budgeting and evaluation office by reassignment of staff positions.

- The creation of a joint TDCJ/Windham/private unit task force to establish the appropriate data base for developing annual criminal justice performance measures of corrections education.

  The task force should begin its work in November, 1992 and complete the data base design by March 1, 1993.

  Implementation of the data base design should begin in April, 1993 and the first performance evaluation report should be provided by December 31, 1993.

- The new planning, budgeting, and evaluation office should work with other Windham staff to complete the design of the format of the multi-year comprehensive plan, including a budget component, by January 1, 1993.

  The first plan should be submitted to the Windham School Board for review and approval by June 1, 1993.

- Windham should serve more students with fewer teachers. Windham should begin a three-year phase-in of the increased enrollments per class in September, 1992 by increasing the numbers of students admitted to classes. The phase-in should achieve the following schedule of increased average class enrollments:

  - Academic Classes:

| | |
|---|---|
| Current | 15 |
| March 1, 1993 | 17 |
| September 1, 1994 | 19 |
| March 1, 1994 | 20.5 |

  - Vocational Classes:

| | |
|---|---|
| Current | 14 |
| March 1, 1993 | 15 |
| September 1, 1993 | 17 |
| March 1, 1994 | 18 |

- The educational parts of the TDCJ management contracts with Wackenhut and CCA should be amended as part of the next contract renewal for each unit. The WSS monitoring requirements should commence in 1992-93.

## 8.3 Accounting, Cost Performance and Cash Management

This component includes three related areas of financial management: accounting operations, cost performance and cash management. Accounting operations include those activities performed by the Business Office to properly record receipts and disbursements in the accounting records. Cost performance and cash management relate to the responsibilities of the Business Office to ensure that costs of WSS operations are reasonable and that interest earnings on cash assets are maximized.

### 8.3.1 Current Situation

Accounting Operations. The accounting operations of the WSS Business Office are undergoing significant change. Lone Star, the TDCJ's version of the Statewide Accounting System, is scheduled for implementation starting September 1, 1992. Consequently, a comprehensive review of current accounting operations is not beneficial since most of these activities will be changing. The focus of this report section will be on how well the Business Office is preparing for this transition.

Business Office staff have been receiving training on the Lone Star system, and one person in the Business Office is devoted full-time to coordinating WSS responsibilities in implementing the system. This system is expected to provide much greater reporting capabilities and streamline transaction processing activities in the long run.

Cost Performance. Cost performance is measured by examining the accounting results and relating them to activity levels in an organization. While accounting operations answer the question "is it right?", cost performance analysis answers the question "is it reasonable?". A good system of cost performance analysis will constantly challenge the reasonableness of cost.

WSS currently uses a chart of accounts structure which allows reporting of costs by:

- object of expenditure (salaries, supplies);
- function (administrative, instructional services);
- cost center (WSS, Project RIO, State Appropriation, Education and Recreation);
- program (academic, special education, Chapter 1);
- prison unit;
- class

This account structure is in the process of being converted to the new system.

The WSS Business Office annually prepares and publishes an analysis of cost trends by major function as shown in exhibit 8-8 for the 1985-86 through 1990-91 school years. The cost information in exhibit 8-8 does not include TDCJ appropriated or TDCJ locally-funded amounts for educational services to administratively segregated inmates, college programs, Project RIO, recreation programs and other "Education Department" costs which are administered by the WSS Business Office but are not part of the WSS cost center. Neither, however, do the ADA figures in the exhibit include services to administratively segregated inmates, college programs, and other areas listed above.

## Cash Management

Effective cash management practices maximize the use of cash available for interest earning investments and also maximize interest income on those invested balances within prescribed limitations. Effective cash management also protects cash resources from unacceptable levels of risk, and anticipates the flow of cash resources.

EXHIBIT 8-8

## COMPARISONS OF WINDHAM OPERATING EXPENDITURES PER STUDENT BY FUNCTION
## -- EXCLUDES EXPENDITURES FOR POSTSECONDARY EDUCATION --

(as reported by the Windham School System)

### 1984-85 TO 1990-91 SCHOOL YEARS

| TOTAL EXPENDITURES* | 1984-85 | 1985-86 | 1986-87 | 1987-88 | 1988-89 | 1989-90 | 1990-91 |
|---|---|---|---|---|---|---|---|
| General Admin. | $1,342,428.33 | $1,330,880.72 | $1,374,720.00 | $1,364,021.00 | $1,596,985.24 | $1,971,882.45 | $2,016,694.96 |
| Instructional Admin. | 1,947,894.01 | 1,786,886.20 | 1,704,925.00 | 1,701,498.00 | 2,160,194.24 | 885,947.86 | 947,760.08 |
| School Admin. | 1,566,538.62 | 1,609,518.39 | 1,572,259.00 | 1,863,035.00 | 1,823,086.81 | 2,298,038.46 | 2,489,325.60 |
| Total Admin. | 4,856,860.96 | 4,727,285.31 | 4,651,904.00 | 4,928,554.00 | 5,580,266.29 | 5,155,868.77 | 5,453,780.64 |
| Instructional Support | 642,119.47 | 608,658.06 | 611,823.00 | 586,575.00 | 709,100.94 | 999,905.81 | 1,188,902.10 |
| Guidance/Counseling Svcs.** | --- | --- | --- | --- | --- | 1,999,032.42 | 2,468,741.21 |
| Instructional Services | 11,648,768.06 | 11,052,337.89 | 10,998,609.00 | 12,327,938.00 | 14,978,713.55 | 17,577,861.53 | 22,143,889.75 |
| Maintenance equipment*** | 221,543.64 | 177,847.32 | 204,923.00 | 257,649.00 | --- | --- | --- |
| Total | $17,369,292.13 | $16,566,128.58 | $16,467,259.00 | $18,100,716.00 | $21,268,080.78 | $25,732,668.53 | $31,255,313.70 |
| Average Daily Attendance (ADA)^ | 6,420.73 | 6,256.42 | 6,626.31 | 6,905.15 | 7,730.65 | 8,944.21 | 10,393.40 |

| EXPENDITURES PER AVERAGE DAILY ATTENDANCE^ | 1984-85 | 1985-86 | 1986-87 | 1987-88 | 1988-89 | 1989-90 | 1990-91 |
|---|---|---|---|---|---|---|---|
| General Admin. | $209.06 | $212.72 | $207.46 | $197.54 | $206.58 | $220.46 | $194.04 |
| Instructional Admin. | 303.38 | 285.61 | 257.29 | 246.41 | 279.43 | 99.05 | 91.19 |
| School Admin. | 243.98 | 257.26 | 237.28 | 269.80 | 235.83 | 256.93 | 239.51 |
| Total Admin. | 756.43 | 755.59 | 702.03 | 713.75 | 721.84 | 576.45 | 524.73 |
| Instructional Support | 100.01 | 97.29 | 92.33 | 84.95 | 91.73 | 111.79 | 114.39 |
| Guidance/Counseling Svcs. | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 223.50 | 237.53 |
| Instructional Services | 1,814.24 | 1,766.56 | 1,659.84 | 1,785.33 | 1,937.57 | 1,965.28 | 2,130.57 |
| Maintenance equipment | 34.50 | 28.43 | 30.93 | 37.31 | 0.00 | 0.00 | 0.00 |
| Total | $2,705.19 | $2,647.86 | $2,485.13 | $2,621.34 | $2,751.14 | $2,877.02 | $3,007.23 |

* Annual Performance Reports, Windham School System, 1985-86 to 1990-91 data; WSS Business Office, 1984-85 data.

** Guidance/Counseling Svcs. expenses for 1984-85 to 1988-89 were formerly a part of Instructional Administration.

*** Maintenance equipment expenses for 1988-89 to 1990-91 were appropriated across the other expense categories.

^ ADA counts equal aggregate hours of attendance divided by a 5 hour day times number of days taught.

The cash management function at WSS is performed by the Business Office. At March 31, 1992, WSS had $460,935 in cash and $6,900,000 in Certificates of Deposit. Average invested balances currently range from $1,000,000 to $10,000,000. In FY 91 WSS had interest earnings of $277,000.

### 8.3.2 Findings

Accounting Operations

- The Lone Star system will not immediately streamline inefficient accounting operations in the Business Office. Current processing of payroll changes, purchase requisitions and accounts payable is highly manual. For example, typewriters are used to complete a variety of forms on each type of transaction at the unit level and in the Business Office. Implementation of Lone Star will immediately focus on the General Ledger/Budget system, although other sub-systems will be implemented later.
    - Accounts Payable and Payroll will be automated as part of Lone Star. Implementation of these sub-systems should streamline the related accounting activities currently performed by the Business Office.
    - Automation of Purchase Requisitions is not expected to be covered by Lone Star. Consequently, until WSS implements its own requisition system, many of the manual procedures performed at the unit level and at the Business Office will not be streamlined. This issue should be addressed in the WSS strategic plan for automation as outlined in Chapter 10 of this report.
- The WSS Business Office appears to be prepared for the implementation of the Lone Star system, but has not determined how the new system, when fully implemented, will affect accounting operations. Ideally, much of the accounting operation activities should be automated, pushed down to the unit/department level, or pushed up to TDCJ.

Cost Performance

*Exemplary Programs*

- WSS maintains and uses cost data in its decision-making.
    - The Business Office tracks total cost per ADA and per contact hour, total cost per student, and total cost per day statistics. Functional categories of costs (e.g., administrative versus

instructional) are also tracked and compared to adjusted public education data reported by the Texas Research League. These comparisons are used by the Business Office to determine whether WSS costs are generally in line.

### *Opportunities for Improvement*

- Windham has made no attempt to compare its costs to the costs of correction education in other states.
- To determine how Windham's costs compare to those of Texas' public school districts, we developed a formula for converting Windham's annual teaching workload to an average daily attendance (ADA) which is comparable to the ADA in Texas public schools. The formula we used was to divide Windham's total annual contact hours by 1,080 (the 1,080 is based upon the public school practice of a student attending classes for six hours per day for 180 days).

  Utilizing the 1,080 annual student contact hour definition of an ADA, we recalculated the costs per ADA published by WSS in its annual performance report (shown previously in exhibit 8-8). We also made some other minor adjustments to make the costs consistent from year to year. The recalculated costs per ADA are shown in exhibit 8-9.

  Exhibit 8-9 shows that:

  - Windham's ADA has increased from 6,242 in the 1984-85 school year to 10,146 in the 1990-91 school year;
  - annual total costs per ADA has increased from $2,782 in the 1984-85 school year to $3,081 in 1990-91 school year; representing only about a 1.5% average annual increase (compared to an average annual inflation rate of about 3.9%);
  - as enrollments have grown, Windham's total administrative costs have declined from $687 per ADA in the 1984-85 school year to $535 in the 1990-91 school year;
  - most of the decline in administrative costs per ADA have occurred in central office services as school administrative costs per ADA have remained about the same over the years;
  - counseling and guidance costs have increased from $91 per ADA in the 1984-85 school year to $243 in the 1990-91 school year based on decisions by TDCJ to shift more educationally-related inmate counseling to Windham counselors.

EXHIBIT 8-9

## COMPARISONS OF WINDHAM OPERATING EXPENDITURES PER STUDENT BY FUNCTION
## -- EXCLUDES ENROLLMENTS AND EXPENDITURES FOR POSTSECONDARY EDUCATION --

(adjusted for comparison with public school data)

### 1985 TO 1991 SCHOOL YEARS

| TOTAL EXPENDITURES* | 1984-85 | 1985-86 | 1986-87 | 1987-88 | 1988-89 | 1989-90 | 1990-91 |
|---|---|---|---|---|---|---|---|
| General Admin. | $1,342,428.33 | $1,330,880.72 | $1,374,720.00 | $1,364,021.00 | $1,574,344.90 | $1,954,890.90 | $1,987,424.64 |
| Instructional Admin. | 1,377,116.01 | 1,152,786.20 | 1,024,883.00 | 981,192.00 | 913,446.24 | 883,989.86 | 946,413.20 |
| School Admin. | 1,566,538.62 | 1,609,518.39 | 1,572,259.00 | 1,863,035.00 | 1,823,086.81 | 2,298,038.46 | 2,489,325.60 |
| Total Admin. | 4,286,082.96 | 4,093,185.31 | 3,971,862.00 | 4,208,248.00 | 4,310,877.95 | 5,136,919.22 | 5,423,163.44 |
| Instructional Support | 642,119.47 | 608,658.06 | 611,823.00 | 586,575.00 | 687,149.18 | 958,677.21 | 1,137,497.11 |
| Guidance/Counseling Svcs. | 570,778.00 | 634,100.00 | 680,042.00 | 720,306.00 | 1,246,748.00 | 1,988,498.96 | 2,467,172.80 |
| Instructional Services | 11,648,768.06 | 11,052,337.89 | 10,998,609.00 | 12,327,938.00 | 14,770,670.03 | 17,329,678.14 | 21,917,996.35 |
| Maintenance equipment | 221,543.64 | 177,847.32 | 204,923.00 | 257,649.00 | 252,635.62 | 318,895.00 | 309,484.00 |
| Total | $17,369,292.13 | $16,566,128.58 | $16,467,259.00 | $18,100,716.00 | $21,268,080.78 | $25,732,668.53 | $31,255,313.70 |
| Average Daily Attendance (ADA)** | 6,242.38 | 6,082.63 | 6,442.25 | 6,713.34 | 7,515.91 | 8,695.76 | 10,146.00 |
| **EXPENDITURES PER AVERAGE DAILY ATTENDANCE**** | **1984-85** | **1985-86** | **1986-87** | **1987-88** | **1988-89** | **1989-90** | **1990-91** |
| General Admin. | $215.05 | $218.80 | $213.39 | $203.18 | $209.47 | $224.81 | $195.88 |
| Instructional Admin. | 220.61 | 189.52 | 257.29 | 146.16 | 121.54 | 101.66 | 93.28 |
| School Admin. | 250.95 | 264.61 | 244.05 | 277.51 | 242.56 | 264.27 | 245.35 |
| Total Admin. | 686.61 | 672.93 | 714.74 | 626.85 | 573.57 | 590.74 | 534.51 |
| Instructional Support | 102.86 | 100.06 | 94.97 | 87.37 | 91.43 | 110.25 | 112.11 |
| Guidance/Counseling Svcs. | 91.44 | 104.25 | 105.56 | 107.29 | 165.88 | 228.67 | 243.17 |
| Instructional Services | 1,866.08 | 1,817.03 | 1,707.26 | 1,836.33 | 1,965.25 | 1,992.89 | 2,160.26 |
| Maintenance equipment | 35.49 | 29.24 | 31.81 | 38.38 | 33.61 | 36.67 | 30.50 |
| Total | $2,782.48 | $2,723.51 | $2,654.34 | $2,696.23 | $2,829.74 | $2,959.22 | $3,080.56 |

* Annual Performance Reports, Windham School System, 1985-86 to 1990-91 data; WSS Business Office, 1984-85 data. Because of a change in reporting format in 1989-90 services from 1984-85 to 1988-89 and Maintenance equipment expenses for 88/89 to 90/91 were obtained from the WSS Business Office and differ from those reported in Annual Performance Reports.

** ADA counts for 1984-85 to 1989-90 are adjusted to be equivalent to ADA reported by public schools. Adjustments were made by multiplying traditionally reported WSS ADA by 5 class hours per day times 210 class days and then dividing by 1,080 hours. ADA figure for 90/91 is the actual annual total contact hours divided by 1,080 hours.

- We then compared Windham's cost per ADA by function to the related costs per ADA of all Texas public schools. The definitions of the various cost categories are shown in exhibit 8-10. As shown in the exhibit, in making the comparisons, we omitted maintenance, food service, transportation and other costs which Windham does not incur because of its location within prison units. As shown in exhibit 8-11, when compared to the average for Texas' public schools, Windham's:

  - total cost per ADA is slightly higher (6.5%);
  - school administrative costs are about 22% higher;
  - central office (general and instructional) administrative costs are slightly (about 3%) higher;
  - instructional support costs are significantly higher (23%);
  - guidance and counseling costs are significantly higher (88%);
  - instructional costs are about the same.

  In comparing the above costs, it is important to remember that significant differences exist between prison schools and public schools. These differences include the following:

  - Prison schools are constantly (almost daily) adding and dropping students, while public schools have a relatively stable student body. The administrative and testing costs of a constantly changing student body are much higher.
  - The counseling requirements for inmate students are much higher because of the problems faced by these students.
  - Prison schools tend to be smaller (about 280 ADA) than the average public school (about 548 ADA), causing higher per ADA school administrative costs.
  - The record keeping requirements in a prison school are much higher than in public schools.

- A declining percentage of WSS expenditures are being funded with federal grants (excluding ESL).

  - A 1990 study performed by Andersen Consulting included recommendations to more aggressively pursue federal funds for Texas prison education.

EXHIBIT 8-10

## COMPARISON OF FUNCTIONS PERFORMED (AND COSTS INCURRED) BETWEEN WINDHAM AND TEXAS PUBLIC SCHOOLS

| FUNCTIONS AND COSTS | WINDHAM | TX PUBLIC SCHOOLS |
|---|---|---|
| *Instructional Services* | ✓ | ✓ |
| *Administration:* | | |
| General Administration [a] | ✓ | ✓ |
| Instructional Administration [b] | ✓ | ✓ |
| School Administration [c] | ✓ | ✓ |
| *Instructional Support:* | | |
| Instructional Resources and Media | ✓ | ✓ |
| Curriculum & Personnel Development | ✓ | ✓ |
| Communications & Dissemination | ✓ | ✓ |
| *Pupil Services:* | | |
| Guidance and Counseling | ✓ | ✓ |
| Social Work Services | | ✓ |
| Health Services | | ✓ |
| Pupil Transportation | | ✓ |
| Cocurricular Activities | | ✓ |
| Food Services | | |
| *Plant Services:* | | |
| Maintenance Operations | | ✓ |
| *Community Services* | | ✓ |

[a] Includes the superintendent, Budget Officer, and other central administrative personnel not directly related to a specific program or school/unit.

[b] Includes program directors, supervisors, and other central program administrators not directly related to a specific school/unit.

[c] Includes school principals and other campus-level administrative personnel.

## EXHIBIT 8-11

### COMPARISON OF WINDHAM PER ADA COSTS TO THE AVERAGE OF TEXAS' SCHOOL DISTRICTS FISCAL YEAR 1991

| | WSS ADJUSTED * | TEXAS PUBLIC EDUCATION ** | PERCENTAGE OVER (UNDER) |
|---|---|---|---|
| General Administration | $195.88 | $191.75 | 2.15% |
| Instructional Administration | $ 93.28 | $ 92.20 | 1.17 |
| School Administration | $245.35 | $201.06 | 22.03 |
| TOTAL ADMINSTRATION | $534.51 | $485.01 | 10.02 |
| Instructional Support | $112.11 | $ 91.34 | 22.74 |
| Guidance and Counseling Services | $243.17 | $129.11 | 88.34 |
| Instructional Services | $2,160.26 | $2,186.24 | <1.17> |
| **TOTAL** | **$3,080.56** | **$2,891.70** | **6.53%** |

* SOURCE: From exhibit 7-8.

** SOURCE: Applicable cost data per "Bench Marks" report prepared by the Texas Research League from an abstract of the Public Education Information Management System. Amounts represent statewide average cost per student.

- Between FY 90 and FY 91 the percentage of WSS expenditures funded by federal grants decreased from 5% to 3.4%, and also decreased in dollar amount from $1,363,420 to $1,125,195. Exhibit 8-12 presents the percentage of federally-funded expenditures for Windham over the past five years.

EXHIBIT 8-12

PERCENT OF FEDERAL FUNDS EXPENDED
FY 87 - 91

| | FY 87 | FY 88 | FY 89 | FY 90 | FY 91 |
|---|---|---|---|---|---|
| Federal Funds | $ 876,519 | $ 830,502 | $ 1,130,469 | $ 1,363,420 | $ 1,125,195 |
| WSS Expenditures | $16,925,222 | $18,741,401 | $22,778,216 | $27,074,231 | $32,905,160 |
| Federally-Funded Expenditures As a Percent of Total Expenditures | 5.2% | 4.4% | 5.0% | 5.0% | 3.4% |

SOURCE: WSS Annual Performance Reports

- In Texas public education, federal funds represented approximately 7.1% of total expenditures for education in FY 91.

## Cash Management

- No board-approved investment policy exists. WSS has a proposed investment policy which is similar to investment policies of other state agencies. However, the Board has yet to approve it.

- WSS investments are too centralized in one institution, and have represented over 10% of a local bank's assets, exposing the WSS to unacceptable levels of risk. Even though these investments are collateralized, failure of the bank would result in significant time delays in gaining access to the invested funds, and could disrupt daily operations of the WSS.

- Many invoices are paid early, adversely affecting cash flow. WSS Accounts Payable Department makes no attempt to schedule payments to maximize cash holdings. The department pays an invoice whenever they receive it, without consideration of the terms of the invoice. While this ensures that discounts for prompt payment are realized, it also results in many payments being disbursed before payment is due.

- WSS could be earning more interest on their invested funds within acceptable levels of risk. The proposed investment policy of WSS, which is similar to that of other public school districts, allows for investments in a variety of instruments. Interest-earning checking accounts and Certificates of Deposit are the only instruments being used currently by the WSS. Evaluation of alternative instruments would most likely result in increased yields on investments.

- WSS is not receiving an account analysis statement from the bank on its invested funds. Consequently, WSS staff are not able to determine the average daily collected balance. With this information, idle funds could be identified for investment.

### *8.3.4 Recommendations*

We recommend that WSS:

- Establish specific goals for streamlining accounting operations and transaction processing with the implementation of Lone Star general ledger and related sub-systems.

- Continue to annually compare its per ADA costs to the ADA costs of Texas public schools by major function.

- Compare WSS costs to private unit costs and to costs of prison education systems in other states on an annual basis. The results of this analysis could support management's efforts in evaluating the reasonableness of expenditures. It could also provide information on the amount of expenditures in other states funded with federal grants. This in turn could be used to identify opportunities to increase federal funds for the WSS.

- The following two recommendations apply only if the state continues to find Windham through FSP as a separate independent school district:

    - Diversify its investment portfolio to include higher yielding investments such as the State Treasurers' Tex-Pool. On August 1, 1992 the Tex-Pool rate was 4.0777% while the interest rate on invested CD's was 3.30%. If this spread in rates was consistent throughout the year, WSS could earn an additional $46,662 in interest (assuming an average invested balance of $6,000,000).

    - Increase invested cash balances by sweeping leftover funds in checking into an Overnight Repurchase Agreement. Information to identify opportunities for increasing investment balances could be obtained by requesting a monthly account analysis from the bank. An account analysis would also provide the Business Office with information regarding charges for services.

### *8.3.5 Financial Impact*

- Diversifying the investment portfolio could result in an additional interest income of $46,662 per year. This is based on the assumption that the spread between the August 1, 1992 CD rate and Tex-Pool rate will remain constant during the year.

- For every $150,000 of idle funds that can be identified for overnight investment, approximately $6,000 of additional annual interest can be earned. Assuming that $300,000 in idle funds can be identified, $12,000 of additional interest can be earned.

### *8.3.6 Implementation Strategies*

- Goals for streamlining the Business Office should include the following areas:
    - List of Business Office activities which could be eliminated, automated, transferred to the unit level, or transferred to TDCJ
    - Target number of Business Office positions that could be eliminated or redirected toward other functions
    - Time frames for reaching these goals which should correlate with scheduled implementations of Lone Star sub-systems and WSS systems.

- Enhancing the cost analysis tasks will require a more thorough investigation of the underlying programs and activities of the entities being compared. For Texas public education costs, PEIMS data can be requested directly from TEA in great detail. A more thorough analysis and comparison of underlying programs would result in a more focused request for cost data.

## 8.4 *Internal and External Auditing*

### *8.4.1 Current Operations*

Audit procedures are necessary to ensure that transactions and activities are performed in a manner which complies with federal and state regulations, established technical standards and agency policies. An effective audit function supports the closing of the accountability loop by providing management with some degree of assurance that the agency is performing daily operations in a proper manner. These audits are referred to as financial and compliance audits, and are different from performance or management audits. Performance audits evaluate efficiency and effectiveness of an organization. This section of the report deals principally with financial and compliance audits.

The Windham School System has been subject to internal and external audits -- both recurring and non-recurring. In recent years, WSS has been subject to audits by:

- The Texas Education Agency
- TDCJ Internal Audit Unit
- The State Auditor
- WSS personnel
- The Federal Government (grant audits)

### 8.4.2 Findings

Below are findings related to the audit activities which has been performed by the entities listed above.

Texas Education Agency

- The TEA conducts accreditation reviews and compliance monitoring activities. These processes were addressed previously in chapters 6 and 7 and will not be examined in this section.

TDCJ Internal Audit

- TDCJ Internal Audit has a staff of 27 auditors and one director, who reports directly to the TDCJ Board.
- WSS operations are audited as part of a prison unit audit. However, on a recurring basis, the activities of WSS funded by TDCJ appropriations are subject to audit. The major component audited is vocational education and the cash controls surrounding vocational shop fees. The TDCJ internal audit department audits six to ten units each year.

- During the past three years there have been two special audits performed by TDCJ internal audit on other WSS operations.
  - As part of an audit plan for FY 90, a comprehensive audit of WSS operations was performed. This included inventory controls at the central warehouse, and budgeting and expenditure transactions at all levels of WSS. According to TDCJ internal audit personnel, this audit resulted in a set of relatively minor findings.
  - After allegations of impropriety by an inmate, the WSS attendance accounting system was subjected to an internal audit. This audit resulted in a finding that there was no systemic problem in attendance accounting; however, one unit was found to have significant problems. According to TDCJ internal audit personnel, WSS management acted quickly to resolve this problem by firing the principal and developing its own internal monitoring activity of student attendance.
- Private units are subject to audits conducted by the Institutional Division of TDCJ, not the Internal Audit Unit. The Institutional Division conducts on-site visits of private units and the education program is included in the scope of the audit; a WSS curriculum director participates in the audit. TDCJ also has an on-site monitor at each of the private units.

### State Auditor

- The State Auditor performs a financial audit of TDCJ each year, which includes the WSS. However, WSS expenditures are not subject to the scrutiny and rigor characteristic of other Texas school districts (through independent audits). Even if the WSS were a separate state agency, it would not be subject to an annual audit by the State Auditor because of its small size in relation to other state agencies.
- In 1990, the State Auditor also conducted a performance audit of the WSS and Project RIO. A follow-up audit was completed by the State Auditor in June 1992. This follow-up audit noted that the WSS had implemented one of the recommended changes, and that two were delayed.

### WSS Internal Audit Activities

- WSS does not have a separate internal audit function. However, it does conduct internal auditing activities in several areas, including:
  - Attendance accounting/inmate eligibility - performed by the Planning and Evaluation Office

  - Fixed asset inventory - performed by the Business Office

  - Warehouse inventory count - performed by the Business Office

Summary Findings

- The Windham School System is highly rated by the TDCJ Internal Auditors in terms of management effectiveness and compliance with operating procedures. They should be commended on their development and maintenance of operating procedures and their compliance with them. WSS is perceived by internal auditors to be progressive in responding to audit exceptions in a timely and effective manner.

- WSS activities and transactions are less likely to be subject to external audits going forward. Particularly in light of the anticipated growth of WSS in the coming years, this presents an increasingly unacceptable level of risk which should be addressed.

  - WSS is separately accountable for most of its funding, but is treated like a small division of a large agency from a financial audit perspective.

  - The focus of TDCJ's internal audit function is elevating to a higher level of compliance testing. Responsibility for transaction testing and procedure compliance monitoring will be placed primarily with the management of the operating units, including WSS. In the future, TDCJ internal audit will focus more on compliance with goals and policies than on transaction testing.

- WSS financial information presented in the annual performance report does not include disclosure of major reclassifications of expenditures. The Annual Performance Report for FY 90 reflected Central Office administrative costs of almost $4.96 million, while in FY 91 the Central Office expenditures were $3.37 million. The difference was due primarily to a reclassification of guidance and counseling expenditures from Central Office Instructional Administration to a Campus level expenditure for Counseling Services. Given that these categories of expenditures are compared to related expenditures in Texas public education, it is important to disclose and justify reclassifications to prevent misleading conclusions.

### *8.4.3 Recommendations*

We recommend that:

- TDCJ develop and implement a separate and comprehensive internal audit plan for WSS. The scope of the WSS internal audit plan should include financial auditing, program compliance monitoring, and performance auditing, and should also include private unit education programs.

- WSS disclose all material reclassifications of expenditures in the Annual Performance Report and other financial reports prepared by the Business Office, and disclose the impact on any affected performance measures included in these reports.

### *8.4.4 Financial Impact*

| RECOMMENDATIONS | INCREASED REVENUE | ANNUAL (COSTS) | ANNUAL SAVINGS |
|---|---|---|---|
| Implement internal audit function | 0 | ($49,550) [a/] | $50,000 [b/] |
| Disclose reclassifications | 0 | 0 | 0 |

[a/] Based on one auditor director ($35,000), plus benefits (10% of salaries), supplies ($250 per person), and travel and subsistence expenses (an average of $300 per unit).

[b/] Estimated savings of .15% of annual budget per year.

### *8.4.5 Implementation Strategies*

- The development of a separate internal audit plan for WSS will require that TDCJ initiate the following actions:
  - Develop job descriptions for staff responsible for auditing WSS.
  - Document goals and objectives of an internal audit for WSS, and scope of activities to be performed during the audits.
  - Perform assessment of audit risks throughout Windham.
  - Develop short-term (one-year) and long-term (five-year) audit plans and obtain approval from the Board on these plans. Short-term plans should include scheduled activities and resources. Long-term plans should include specific areas to

be audited during the five-year period, and should be linked with the Internal Audit's ongoing evaluation of audit risk.

- Prepare audit programs for areas subject to audit. TDCJ should seek assistance from TEA in developing these for educational program areas.

# 9.0 FINDINGS AND RECOMMENDATIONS RELATED TO PERSONNEL MANAGEMENT AND DEVELOPMENT

# *9.0 FINDINGS AND RECOMMENDATIONS RELATED TO PERSONNEL MANAGEMENT AND DEVELOPMENT*

This chapter presents our findings, commendations, and recommendations for each of the five components of the Personnel Management and Development System. Exhibit 9-1 presents a description of the system, its components, and the efficiency/effectiveness indicators which we examined.

EXHIBIT 9-1

PERSONNEL MANAGEMENT AND DEVELOPMENT

| | |
|---|---|
| *DESCRIPTION OF SYSTEM* | This system is directed to the recruitment, employment, and maintenance of efficient and effective personnel services for the WSS. Personnel management is performed by every manager and supervisor in the WSS. The adherence of the education managers to sound personnel management practices, consistent with adopted policy, is the focus of this system. |
| *COMPONENTS* | ▪ Administrative Structure<br>▪ Personnel Policies and Procedures<br>▪ Personnel Records<br>▪ Hiring of Personnel, Affirmative Action, and Compensation<br>▪ Staff Development<br>▪ Performance Assessment |
| *EFFICIENCY/ EFFECTIVENESS INDICATORS* | ▪ Written personnel policies<br>▪ Personnel handbook<br>▪ Employer/employee relations program<br>▪ Automated record system<br>▪ Employment, certification and in-service participation records in one file<br>▪ Measures to protect confidentiality<br>▪ Equal opportunities for employment of best qualified for staff vacancies<br>▪ Appropriate staff involvement in the interview and selection process<br>▪ Written Affirmative Action Plan<br>▪ % of employees by race, gender, ethnicity<br>▪ % of applicant pool by race, gender, ethnicity<br>▪ Turnover rate<br>▪ Job descriptions match duties and responsibilities<br>▪ Structured pay schedule based on competitive market<br>▪ Comprehensive staff development program available for all employees<br>▪ Responsibility for in-service training specifically assigned<br>▪ Beginning teacher support program is available<br>▪ Travel expenses for staff development<br>▪ Written policies and procedures are developed for evaluation of all levels of employees |

EXHIBIT 9-1 (Cont'd)

PERSONNEL MANAGEMENT AND DEVELOPMENT

| | |
|---|---|
| *EFFICIENCY/ EFFECTIVENESS INDICATORS* | ▪ Performance appraisal systems have standard set of criteria for each position<br>▪ Evaluators are trained to use performance appraisal instruments<br>▪ Records of annual evaluations of all employees are kept<br>▪ Written copies of the appraisal and feedback are provided after each appraisal<br>▪ In-service programs show a direct relationship to performance appraisals<br>▪ Number teachers at career ladder levels I, II, and III<br>▪ Written policies are available on promotion, transfer and dismissal<br>▪ Fringe benefit package is effectively used in overall salary administration<br>▪ Raises based on merit and performance, not just longevity<br>▪ Number of employee disciplinary actions<br>▪ Number of employee terminations |

## 9.1 *Current Personnel Administrative Structure*

The current personnel administration structure of Texas prison schools consists of the following four structures:

1. Windham School System's personnel system.
2. Windham School System school aides and assistants, postsecondary administrators, and special program staff who operate under TDCJ's personnel system.
3. Wackenhut Corporation's personnel system which applies to the two prison units (and their schools) managed by Wackenhut.
4. Corrections Corporation of America's (CCA) personnel system which applies to the two prison units managed by CCA.

The prison school system staff who are subject to each of the above personnel systems is depicted in exhibit 9-2.

## EXHIBIT 9-2

## RELATIONSHIP OF PRISON SCHOOL STAFF TO PERSONNEL SYSTEM - 1992

| PERSONNEL SYSTEMS | EMPLOYEES UNDER PERSONNEL SYSTEM |
|---|---|
| WINDHAM SCHOOL SYSTEM | ● Most of Windham Central Administrative Staff<br>● School principal, counselors, librarians, teachers, and paraprofessionals who serve elementary and secondary students |
| TDCJ | ● Windham school aides and assistants<br>● Windham Central Office staff who work on postsecondary education programs<br>● Project Rio, central and unit staff |
| WACKENHUT | ● All staff at the two units managed by Wackenhut (except vocational education teachers who are contracted from MTI, Inc.) |
| CORRECTIONS CORPORATION OF AMERICA (CCA) | ● All staff of the two units managed by CCA |

### 9.1.1 Overview Comparison of Personnel Systems for Texas Prison Schools

Exhibit 9-3 provides an overview comparison of the personnel structures which govern different prison school employees. As shown in the exhibit, significant differences exist among the four personnel structures in:

- number of contract days per year
- paid holidays per year
- paid vacation days per year
- payment for accumulated sick leave
- retirement plans
- average teacher salaries

Note from exhibit 9-2, however, that each employee is under only one personnel system even though the four different systems exist among the prison schools. However, all publicly-managed prison schools in Texas have employees who are subject to WSS personnel policies and procedures and employees who are subject to TDCJ policies and procedures as shown in exhibit 9-4.

### 9.1.2 Windham School System's Personnel Structure

- Because all state funding for elementary and secondary education for Windham is provided from Texas Foundation School Program (FSP) funds under chapter 16 of the Texas Education Code, Windham is treated as an independent school district similar to all other independent school districts in Texas. All Windham staff paid from FSP funds are subject to a set of personnel policies and procedures which have been designed by WSS and are consistent with TEA regulations which apply to all Texas school districts. Approximately 935 Windham staff operate under Windham's personnel policies and procedures.

## EXHIBIT 9-3
## OVERVIEW COMPARISON OF PRISON SCHOOL PERSONNEL POLICIES AND PROCEDURES FOR WSS, TDCJ, WACKENHUT AND CCA

| Policy/ Procedure Area | WSS | TDCJ | Wackenhut* | CCA* |
|---|---|---|---|---|
| Administration | Administered by WSS personnel department as a separate independent school district under TEA rules and regulations | Administered by TDCJ personnel department under Texas state government personnel rules and regulations | Designed and administered by Wackenhut corporation | Designed and administered by CCA |
| Hiring Decisions | WSS School Superintendent | WSS School Superintendent | Wackenhut Unit Warden | CCA Unit Warden |
| Days Per Year in Contract | 220 days for teachers<br>226 days for administrators | 260 days | 260 days | 260 days |
| Holidays/Year | None | 13 days | 9 days | 10 days |
| Paid Vacation Days/Year | None | 10.5 - 21 days depending upon longevity | 10 days-end of year; not cummulative | 30 days |
| Annual Paid Sick Leave Days | 12 | 12 | 9 | 13 |
| Carry-over of Sick Leave Days From Year to Year | Yes | Yes | Yes | Yes |
| Payment for Accumulated Sick Leave Days | No | Yes | No | No |
| Retirement System | Texas Teacher Retirement System:<br>WSS contributes 7.31% and the employee contributes 6.4% of salary<br>To retire an employee must be 60 years old w/20 years longevity or 65 years w/5 years longevity | Texas State Employee Retirement System:<br>TDCJ contributes 6.43% and employee contributes 6% of salary<br>To retire an employee must be 55 years old w/30 years experience or 60 years old w/10 years experience | None | CCA Corporate Retirement Plan (Employee Stock Option Plan): CCA matches 4% of employee's salary, employee can contribute up to 10% and buy additional stock. Fully vested at 62 years of age or 5 years experience. Less than 4 years - 0% vested, at 4 years - 40% vested. |

*Data was averaged for two Wachenhut units and reported from one CCA unit.

## EXHIBIT 9-4

## NUMBER OF WINDHAM EMPLOYEE POSITIONS SUBJECT TO WSS AND TO TDCJ PERSONNEL POLICIES AND PROCEDURES

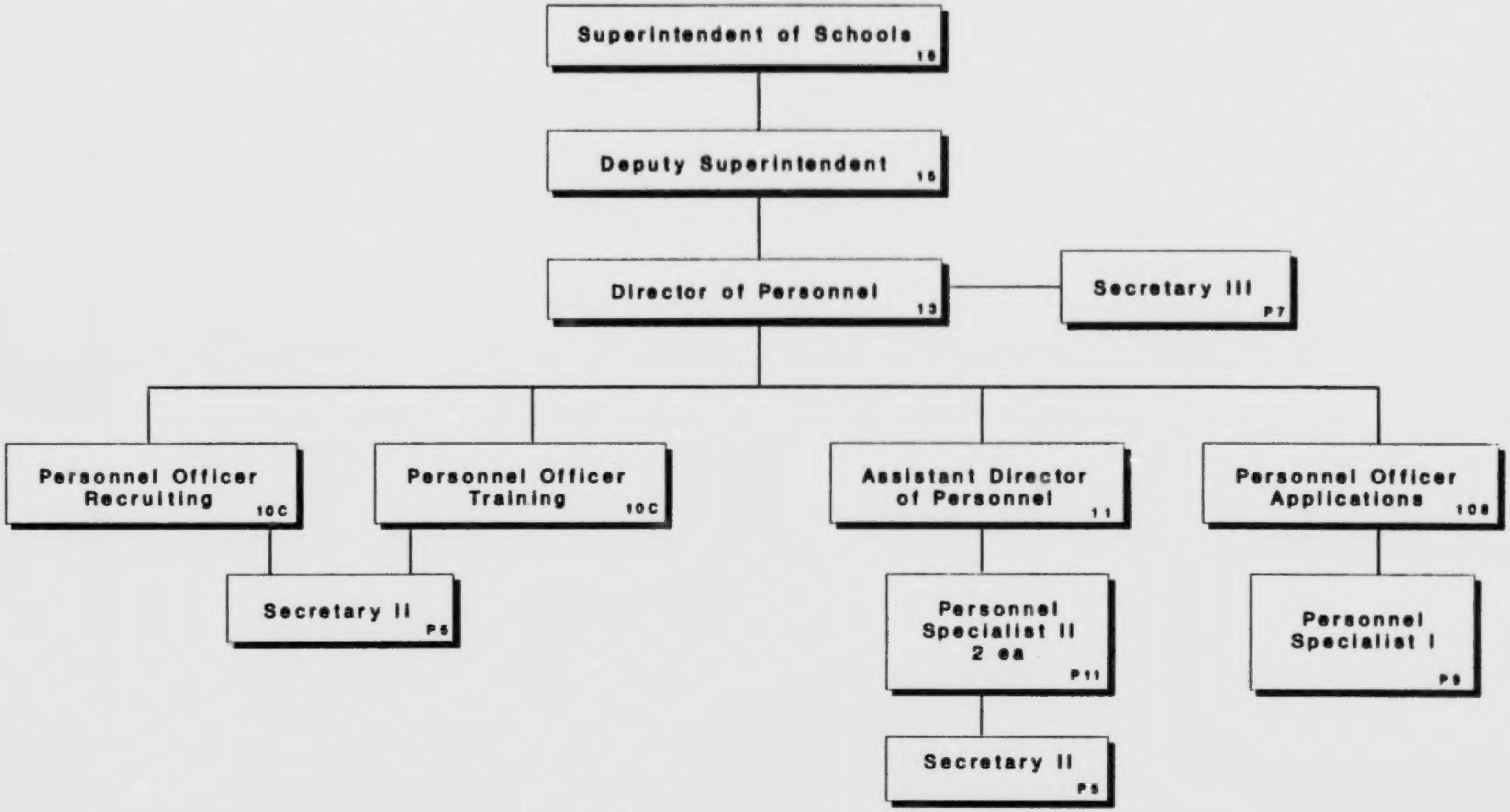
| Unit | Subject to WSS Personnel Policies and Procedures | Subject to TDCJ Personnel Policies and Procedures | Total |
|---|---|---|---|
| Central Office | 118 | 39 | 157 |
| Beto I | 38 | 7 | 45 |
| Beto I-MROP | 40 | 1 | 41 |
| Beto II | 17 | 5 | 22 |
| Briscoe | 27 | 7 | 34 |
| Central | 16 | 4 | 20 |
| Clemens | 25 | 5 | 30 |
| Clements | 33 | 4 | 37 |
| Coffield | 29 | 8 | 37 |
| Daniel | 26 | 6 | 32 |
| Darrington | 23 | 6 | 29 |
| Eastham | 20 | 7 | 27 |
| Ellis I | 16 | 6 | 22 |
| Ellis II | 30 | 6 | 36 |
| Ferguson | 36 | 8 | 44 |
| Gatesville | 31 | 6 | 37 |
| Goree | 4 | 3 | 7 |
| Hightower | 27 | 5 | 32 |
| Hilltop | 25 | 6 | 31 |
| Hobby | 26 | 6 | 32 |
| Hughes | 21 | 6 | 27 |
| Huntsville | 17 | 8 | 25 |
| Jester I & II | 12 | 6 | 18 |
| Jester III | 25 | 4 | 29 |
| Lewis | 28 | 5 | 33 |
| Michael | 22 | 7 | 29 |
| Mt. View | 16 | 2 | 18 |
| Pack I | 23 | 4 | 27 |
| Pack II | 24 | 5 | 29 |
| Ramsey I | 19 | 4 | 23 |
| Ramsey II | 10 | 3 | 13 |
| Ramsey III | 27 | 4 | 31 |
| Roach | 28 | 6 | 34 |
| Retrieve | 11 | 2 | 13 |
| Skyview | 17 | 2 | 19 |
| Wynne | 28 | 8 | 36 |
| **Total** | **935** | **221** | **1156** |

SOURCE: Information obtained from WSS Personnel Department.

- The Windham personnel system is managed by the WSS Personnel Department which is responsible for the following functions:
  - developing and maintaining WSS personnel policies and procedures
  - developing and maintaining personnel job descriptions
  - managing performance evaluation process
  - approval of all payroll
  - maintaining contracts on employees
  - handle all dual employment requests and records
  - recruitment
  - affirmative action
  - managing new employee application process
  - coordinating pre- and in-service training
  - assuring that all employees are appropriately certified
  - new employee orientation and sign-up
  - maintaining all personnel records
  - managing employee leave records
  - conducting annual salary and benefits studies
  - establishing annual salary schedules
  - maintaining employee handbook
  - managing position control
  - managing employee promotions' boards.
- As shown in exhibit 9-5, the WSS Personnel Department consists of 10 staff who perform the above functions. All staff serve under the WSS personnel system.

## EXHIBIT 9-5

## ORGANIZATIONAL AND STAFFING STRUCTURE OF WSS PERSONNEL DEPARTMENT


Superintendent of Schools 16
Deputy Superintendent 15
Director of Personnel 13
Secretary III P7
Personnel Officer Recruiting 10C
Personnel Officer Training 10C
Assistant Director of Personnel 11
Personnel Officer Applications 10B
Secretary II P5
Personnel Specialist II 2 ea P11
Personnel Specialist I P9
Secretary II P5

Source: WSS Employee Job Description Manual

### *9.1.3 TDCJ's Personnel System*

- Funds for Windham's central office staff who manage continuing (postsecondary) education programs, school aides, and assistants, and other staff for special programs, such as Project RIO, are appropriated by the state legislature to TDCJ. Thus, Windham staff who perform the above functions are funded by TDCJ and are considered to be TDCJ (state) staff under TDCJ personnel policies and procedures.
- Of Windham's 1,156 staff, 221 are under TDCJ's personnel policies and procedures.
- TDCJ's personnel system is administered by TDCJ's personnel department which oversees personnel functions for all of TDCJ's employees.
- Windham's personnel department performs only a limited role in assisting the TDCJ's personnel department in managing Windham's TDCJ staff.

### *9.1.4 Wackenhut's Personnel System*

- As a private corporation, Wackenhut has its own corporate personnel system. Thus, those Wackenhut school employees in the two units (Bridgeport and Kyle) managed by Wackenhut are subject only to Wackenhut personnel policies and procedures.
- In addition to its own employees, Wackenhut also contracts with MTI, Inc., a private education firm, to provide vocational education courses. MTI employees are, of course, regulated by MTI's personnel policies and procedures.

### *9.1.5 CCA's Personnel System*

- Also a private corporation, CCA has its own corporate personnel system for its employees in the two units (Cleveland and Venus) which the corporation manages.

## *9.2 Personnel Policies and Procedures*

As indicated above, employees in Texas prison schools are managed under four different sets of personnel policies and procedures, depending upon which organization the employee works for. Because of the emphasis of this project on the public system, our management review concentrated most heavily on the Windham and TDCJ policies and procedures.

### *9.2.1 Description of Current Situations*

Windham School System (WSS)

- WSS has a very extensive set of personnel policies and procedures which are maintained, as section 7.0, in the WSS policies and procedures manual.
- The polices and procedures are extensive and cover the following subjects:
  - new employee procedures
  - employee personnel file
  - career ladder policy
  - employee contract
  - salary calculations
  - salary analysis
  - hours of duty
  - making up lost teaching days
  - leave policy
  - overtime policy
  - chain of command
  - relationship with inmates and former inmates
  - employee dress code and grooming
  - SACS professional development
  - appraisal process
  - letters of commendation
  - the school calendar
  - conference travel policy
  - vehicle operation
  - inclement weather policy
  - employee benefits
  - release of public information
  - policy for employee grievance
  - demotion
  - travel regulations for employees
  - transfer requests
  - requirements for visiting supervisors
  - part-time personnel
  - substitute teachers
  - dual employment
  - paperwork reduction
  - employee time and effort records
  - promotion
  - employee status pending resolution of criminal charges
  - supplemental duty teacher

- Each school principal has a copy of the WSS policies and procedures manual.
- Each employee is also given a copy of Windham's employee handbook which contains most of WSS's personnel policies and procedures.
- Most personnel policies have been approved by the Board of Criminal Justice sitting as the Windham School Board.

TDCJ Personnel Policies and Procedures

- TDCJ also has a very extensive set of personnel policies and procedures which cover the following subjects:
  - Dual Employment with the State of Texas
  - Employment Beyond Age of 70
  - Equal Employment Opportunity and Affirmative Action
  - Clerical Positions, Guidelines For
  - Court, Legislative or Administrative Hearing, Employee Appearances In
  - Criminal Charges, Employee Duty Status Pending Resolution of Disciplinary Actions, Guidelines for Employees
  - Dress and Grooming Standards for Non-Correctional Employees
  - Drug Free Workplace
  - Employment of the Disabled
  - Ex-Offenders, Employment of
  - Grievance Procedure, Employee
  - Leaves With Pay
  - Leaves Without Pay
  - Outside Employment
  - Reduction in Force Procedures
  - Rules of Conduct, Employee General
  - Salary Administration, Employee
  - Selection System Procedures
  - Sexual Harassment
  - Sick Leave Pool
  - Social Security Benefits
  - Unemployment Compensation
  - Veterans Reinstatement
  - Work Cycles and Compensable Hours of Work
  - Access to TDC Premises
  - AIDS and AIDS Related Conditions
  - Death Benefits, Employee
  - Dress and Grooming Standards, Correctional and Other Uniformed Staff
  - Identification Cards

  - Moving Expenses
  - Personnel Management Manual
  - Retirement Benefits
  - Transfers and Reassignments
  - Travel Per Diem Expenses
  - Uniform Policy, Correctional and Other Uniformed Staff
  - Workers' Compensation

- The warden in each prison unit and some principals have a copy of TDCJ personnel policies and procedures.

- Each TDCJ employee is also given a copy of a TDCJ employee handbook which contains most of TDCJ's personnel policies and procedures.

Private Unit Personnel Policies and Procedures

- Each private unit has its own set of personnel policies and procedures which is maintained by the unit's warden.

### 9.2.2 *Findings*

WSS's Personnel Policies and Procedures - Exemplary Findings

- All school principals in our 20 site visits to Windham schools had readily available copies of the WSS policies and procedures manual. All principals except those with extensive experience, reported that they use the manual frequently.

- With some minor exceptions, all manuals in the units were found to be complete and up-to-date. The exceptions were cases where some pages had been removed and not replaced.

- The practice of combining all WSS policies and procedures into a single manual is both effective and efficient:

  - employees know exactly which document to go to for a policy or procedure;

  - valuable staff time is not wasted looking through several documents;

  - because the manual contains copies of all procedural forms, employees frequently refer to the manual thereby maintaining familiarity with its contents.

- The WSS personnel office is efficiently managed:
  - all personnel have been assigned specific job duties (see exhibit 9-6) and when questioned were thoroughly familiar with their responsibilities;
  - unannounced visits to the department over a two-week time period found all employees busy;
  - workloads are monitored on a daily basis and peaks and valleys in workload flows are carefully managed by reassigning staff on temporary bases;
  - departmental practices and processes are documented for the benefit of new staff and or someone filling in for an absent employee.

WSS Policies and Procedures - Opportunities for Improvement

- Although a significant part of the personnel department's record keeping and processing is automated, the automated systems are "piece meal", having for the most part been designed by the department itself. The only "on-line" system in the office is the employee applicant file which is "on-line" with the four regional administrators in the Huntsville office. No "on-line" systems exist between the school units and the WSS personnel department. All transfers of personnel data and records between the units and the central office are by "hard-copy".

- Our review of sick and personal business leave time (exhibit 9-7) revealed limited abuse of the benefit by some WSS employees:
  - The average sick leave per employee for the first 10 months of FY 92 was .85 days per month compared to only .65 for all other TDCJ employees.
  - For FY 91, 25.9% of sick leave days taken by WSS employees were taken on Friday compared to an average of 18.5% for the other four workdays of the week;
  - In some units, over 30% of the school employees took more than 10 sick leave days during the first 10 months of FY 92, for an average of 1 day per month which is the same number of days earned per month.
  - It is apparent that many employees take a sick leave day as soon as they earn one. As a result, approximately 13% of the WSS employees have less than four accumulated sick leave days.

## EXHIBIT 9-6
## STAFF WORKLOAD ASSIGNMENTS IN WSS PERSONNEL DEPARTMENT

| Personnel Director | Assistant Personnel Director | Personnel Officer for Recruiting |
|---|---|---|
| Career Ladder<br>Pre-Service Training<br>Salary Schedule<br>Policy Updates<br>Budget<br>Handbook<br>Vacancy Notices<br>Clear Applicants<br>Activity Report<br>Annual Performance Report<br>Newspaper Ads<br>Reports<br>Promotions | Certification<br>Computer Administrator<br>Notary Public<br>Payroll<br>Annuities<br>Service Records<br>Audits-Records<br>Salary Analysis<br>Personnel Records Update<br>Employee Contracts<br>Pre-Service Training<br>Interview Applicants<br>Salary Calculations | Recruiting<br>Job Description Book<br>Recruiting Materials<br>Recruiting Report<br>Interviews<br>References<br>Affirmative Action<br>EEO<br>Civil Rights<br>Title VI<br>Section 504<br>Fair Labor Standards<br>Pre-Service Training<br>SOQ References |

| Personnel Specialist I | Personnel Specialist I | Personnel Specialist I |
|---|---|---|
| Personnel Roster<br>Payroll<br>Decision Memos<br>Salary Calculations<br>Employee Records<br>Certification<br>Computer Updates<br>Permits<br>Req. for Payment - Permits | Service Records<br>Sick Leave<br>Insurance<br>Tex Flex<br>Career Ladder Updates<br>Inactive Personnel Files<br>Contracts (Lists of Probationary, Non-Probationary, Probationary on permit, Non-Probationary on Permit)<br>Personnel File Audits<br>Salary Calculations | Applications<br>App. Computer Input<br>90-Day Letters<br>App. Expirations<br>References<br>Complete App.<br>Telephones<br>Sub. Teacher Files<br>Req. for Payment for Substitutes<br>Newspaper Ads |

| Personnel Officer for Applications | Personnel Officer for Training |
|---|---|
| Promotions<br>Interview Boards<br>Newspaper Ads<br>Typing Tests<br>Minority Applicant Reports<br>Substitute Teacher File<br>Vacancy Notices<br>College Placement Offices<br>Salary Calculations | TTAS* Reports<br>TTAS Policies<br>Professional Growth<br>Pre-Service/Staff Development<br>Employee Handbook<br>Conference Requests<br>GMT Training<br>Regional Staff Development<br>Service Awards<br>Unit Choice Staff Development<br>TTAS Training |

| Secretary II | Secretary I | Secretary I |
|---|---|---|
| Department Files<br>Applications<br>Safety Log<br>Activity Report<br>Department Correspondence<br>Travel<br>Supplies<br>Telephone<br>Consultant Files<br>Dual Emp. Files<br>App. Letters<br>TDCJ Board Files<br>Career Ladder Letters<br>TDCJ Time Sheets | Job Descriptions<br>Evaluation - WSS<br>New Hire Folders<br>Contracts (Typing/Sending/ Receiving)<br>Telephones<br>Inactive Emp. Files<br>Typing Tests<br>Address Changes<br>Updating of TTAS Scores | Files - WSS Employees & Applicant Documents<br>Typing Tests<br>Telex Job Posting<br>Transfer Requests<br>Para. Time Sheets<br>Telephones<br>App. Packets<br>Mail<br>Pre-Service Materials |

Source: Information obtained from WSS Personnel Department.

* TTAS - Texas Teacher Appraisal System

## EXHIBIT 9–7

## PERCENT OF EMPLOYEES BY NUMBER OF SICK LEAVE DAYS TAKEN DURING THE FIRST TEN MONTHS OF THE 1991–92 SCHOOL YEAR BY UNIT

| UNIT | NUMBER OF SICK LEAVE DAYS TAKEN | | | | | EST. AVG. PER MONTH PER EMPLOYEE |
|---|---|---|---|---|---|---|
| | 0 | .5 – 5 | 5.5 – 10 | > 10.5 | TOTAL | |
| Central Office | 5.5% | 30.3% | 40.4% | 23.9% | 100.0% | .83 |
| Beto I | 2.8% | 25.0% | 36.1% | 36.1% | 100.0% | 1.04 |
| Beto I–MROP | 5.9% | 23.5% | 38.2% | 32.4% | 100.0% | 1.02 |
| Beto II | 0.0% | 29.4% | 29.4% | 41.2% | 100.0% | 1.08 |
| Boyd | 100.0% | 0.0% | 0.0% | 0.0% | 100.0% | .00 |
| Briscoe | 40.0% | 46.7% | 13.3% | 0.0% | 100.0% | .25 |
| Central | 0.0% | 17.4% | 30.4% | 52.2% | 100.0% | 1.25 |
| Clemens | 7.7% | 30.8% | 30.8% | 30.8% | 100.0% | .88 |
| Clements | 22.6% | 35.5% | 19.4% | 22.6% | 100.0% | .67 |
| Coffield | 3.4% | 27.6% | 44.8% | 24.1% | 100.0% | .86 |
| Darrington | 0.0% | 63.6% | 27.3% | 9.1% | 100.0% | .58 |
| Daniel | 7.7% | 38.5% | 46.2% | 7.7% | 100.0% | .64 |
| Ellis I | 0.0% | 31.3% | 37.5% | 31.3% | 100.0% | .97 |
| Ellis II | 3.4% | 34.5% | 31.0% | 31.0% | 100.0% | .87 |
| Eastham | 5.0% | 55.0% | 20.0% | 20.0% | 100.0% | .73 |
| Ferguson | 2.9% | 45.7% | 28.6% | 22.9% | 100.0% | .77 |
| Goree | 0.0% | 50.0% | 25.0% | 25.0% | 100.0% | .72 |
| Gatesville | 3.3% | 26.7% | 40.0% | 30.0% | 100.0% | .93 |
| Hobby | 7.7% | 30.8% | 38.5% | 23.1% | 100.0% | .81 |
| Hightower | 0.0% | 25.9% | 48.1% | 25.9% | 100.0% | .90 |
| Hilltop | 4.5% | 18.2% | 45.5% | 31.8% | 100.0% | .98 |
| Hughes | 0.0% | 71.4% | 19.0% | 9.5% | 100.0% | .51 |
| Huntsville | 0.0% | 31.3% | 43.8% | 25.0% | 100.0% | .86 |
| Jester I | 0.0% | 33.3% | 16.7% | 50.0% | 100.0% | 1.10 |
| Jester III | 13.0% | 43.5% | 30.4% | 13.0% | 100.0% | .64 |
| Lewis | 7.4% | 40.7% | 33.3% | 18.5% | 100.0% | .70 |
| Michael | 0.0% | 10.0% | 45.0% | 45.0% | 100.0% | 1.15 |
| Moutain View | 0.0% | 20.0% | 40.0% | 40.0% | 100.0% | 1.19 |
| Pack I | 0.0% | 21.7% | 17.4% | 60.9% | 100.0% | 1.23 |
| Pack II | 0.0% | 41.7% | 29.2% | 29.2% | 100.0% | .83 |
| Ramsey I | 10.5% | 15.8% | 36.8% | 36.8% | 100.0% | 1.04 |
| Ramsey II | 10.0% | 30.0% | 40.0% | 20.0% | 100.0% | .72 |
| Ramsey III | 8.0% | 20.0% | 28.0% | 44.0% | 100.0% | 1.01 |
| Roach | 39.1% | 47.8% | 8.7% | 4.3% | 100.0% | .31 |
| Retrieve | 0.0% | 50.0% | 16.7% | 33.3% | 100.0% | .91 |
| Skyview | 12.5% | 6.3% | 75.0% | 6.3% | 100.0% | .75 |
| Wynne | 7.7% | 34.6% | 26.9% | 30.8% | 100.0% | .86 |
| TOTAL | 6.6% | 32.7% | 33.8% | 26.9% | 100.0% | .85 |

SOURCE: Windham School System Records

- WSS hires substitute teachers at a rate of $50 per day when a teacher is absent. During the first 10 months FY 92 (September - June), the System paid $203,100 for substitute teachers for 4,062 days.

- The WSS has no nepotism policy. Our analysis of the composition of central office administrators and staff revealed that there are several husband and wife employees in the central office. Also, we were told many times in our interviews with unit personnel that in addition to husband and wife employees, many other relatives (brothers, sisters, uncles, aunts, etc.) are employed by the central and regional offices.

### Opportunities for Improvement Because of Two Different Sets of Personnel Policies and Procedures for Windham Staff

- The use of two different sets of personnel policies and procedures causes significant inefficiencies in managing Windham staff.

    - Employees funded through the FSP are generally not permitted to perform work outside of their designated area of elementary and secondary instruction. For example, elementary and secondary teachers (and administrators) cannot teach (or work on matters related to) postsecondary education students. Although TDCJ employees can work on any level of education, Windham's general policy is to have each type of staff to specialize in the area designated by the funding source of his or her pay plan. Thus, the more efficient practice of cross-utilizing staff is not always practiced.

    - WSS and TDCJ employees do not work the same number of days per year nor on the same calendar. The result is that staff under one personnel system are frequently not at work when staff under the other plan are and vice versa.

    - WSS must maintain and administer two significantly different personnel systems resulting in:

        - two sets of policies and procedures
        - two administrative systems
        - two automation systems
        - two record and data systems

### *9.2.3 Recommendations*

We recommend that:

- As recommended in Chapter 6, an implementation plan be developed which will provide for the ultimate merger of the WSS personnel system within TDCJ. The plan should include a requirement for WSS teachers to remain with the State Teacher Retirement System (and not the state retirement system) as is currently provided to TEA employees.
- Windham place all staff working under Windham's supervision in Windham's personnel system so that all staff will be subject to the same work calendars and personnel policies and procedures.
- WSS maintain the current 220 and 226 day contracts for all Windham school staff including current TDCJ staff who work in the schools. This will result in all school staff working on the same schedules.
- To reduce the number of teacher substitute days (at $50 each) per year, WSS adopt a policy, to include within the teacher contract, the payment of a $20 bonus to teachers at the end of each year for each day of sick leave earned above six and not taken during the year.
- Windham more closely monitor sick leave taken by employees to prevent abuse by some employees.
- The Board of Criminal Justice adopt a nepotism policy for the employment of all personnel which prevents both abuse and the appearance of abuse.

### *9.2.4 Financial Impact*

- A reduction of the average sick leave by WSS staff to an average of 7.8 days per year (the same average taken by TDCJ employees) will increase the number of days worked per year by Windham employees an average of 2.4 days per employee for a total increase of 2,244 work days per year (the equivalent of 10 FTE staff). The estimated value of 10 FTE staff is approximately $300,000 in increased productivity (assuming an average annual compensation cost of $30,000 per position).
- A reduction in sick leave by 2.4 days per teacher x 569 teachers x $50 per day for a substitute teacher yields a total cost savings of $68,280.
- The estimated annual cost of paying teachers $20 per day for each day of accumulated but not taken sick leave beyond six each year is $47,796 (based on 569 teachers times 4.2 days per teacher per year times $20 per day).

### *9.2.5 Implementation Strategies*

- The Windham personnel department should work with the TDCJ personnel department to develop a plan for transferring all staff to TDCJ's personnel system (and policies and procedures).

- The transfer should be made effective July 1, 1993.
- The Windham personnel department should design a system for paying teachers at the end of the year for sick leave earned but not taken during the year at the rate of $20 (or some other appropriate rate) per day above the average six days.
- Funds from the teacher substitute budget should be used to pay for the unused sick leave. The payment for unused sick leave should be clearly announced to all teachers and become effective July 1, 1993.

## 9.3 Personnel Records

### 9.3.1 Current Situation

Windham Personnel Records System

- All WSS personnel records are managed by the Windham School System personnel department. The Assistant Personnel Director and three other staff members are responsible for creating and maintaining all personnel records.
- A separate hard copy personnel file is maintained for each employee under the WSS personnel system. The file contains some or all of the following information depending upon the type of position:
    - Valid Teacher Certificate or Other TEA credentials
    - Official Transcript(s)
    - Teacher Service Record(s)
    - Salary Analysis
    - Contract(s)
    - Appraisals
    - Professional Development Forms
    - Oath of Office
    - Absence From Duty Forms
    - Payroll Forms
    - Correspondence
    - Employment Application Information
- One year after an employee terminates, his or her personnel file is microfilmed and stored in a warehouse.
- Personnel files are updated each time an event occurs requiring an addition, deletion or modification. In addition, all files are annually audited by personnel staff and updated as required.
- The following information in each personnel file is also entered into computerized files:
    - Assignments
    - Absences

  - Certifications
  - Professional Development
  - Evaluations
  - Compensation Time
  - Personal Information
  - Employee General Information
  - Salary Information

- Back-up computer files are created daily and stored in a warehouse in a separate building.

- Complete and detailed job descriptions exist for all Windham and TDCJ staff.

TDCJ Personnel System

- All personnel records for Windham staff serving under the TDCJ personnel system are maintained by the TDCJ personnel department.

- A review of TDCJ personnel records was beyond the scope of this review.

Privately-Managed Units

- All personnel records of prison school employees for units managed by Wackenhut and CCA are maintained by the respective corporations.

- A review of employee personnel records of the private companies was beyond the scope of this review.

### *9.3.2 Findings*

Exemplary Practices

- Our review of a sample of the hard copy, individual personnel files in the Windham personnel department found that all files were well organized, complete and up-to-date.

- Our review of the computerized personnel files in the Windham personnel department also found that all files were complete and up-to-date.

- With some minor exceptions, our sample review of job descriptions revealed that the descriptions were accurate and up-to-date.

### *9.3.3 Recommendations*

None

## 9.4 *Hiring of Educational Personnel, Affirmative Action, and Compensation*

### 9.4.1 *Current Situation*

#### Windham School System

- The WSS personnel office is primarily responsible for managing the recruitment of new WSS employees for all units.

- The WSS personnel office has one full-time minority recruiter who is responsible for, among other things:

  - developing recruiting materials
  - conducting recruitment trips at selected colleges and universities.
  - conducting interviews with potential applicants
  - checking references
  - designing and implementing affirmative action programs
  - maintaining equal employee opportunity programs.

- According to the WSS Personnel Office, the August 1992 race/ethnic mix of WSS employees was:

| | |
|---|---|
| - Black | 7.5% |
| - Hispanic | 1.9% |
| - White | 90.6% |
| | 100.0% |

- The WSS job application process is managed centrally by the WSS Personnel Department. The Department:

  - issues application forms to interested applicants

  - receives completed applications and inputs the information in an applicant computer file

  - evaluates the applications in terms of appropriate certifications and critical information

  - conducts follow-up with applicants to complete applications

  - transmits appropriate information to TDCJ where a background check is made

  - approves applications (based on verified critical applicant information) and places name in automated approved applicant file

  - via computer network, makes names of approved applicants available to regional administrators.

- All hiring of unit WSS employees is accomplished jointly by the school principals and WSS regional administrators from the approved applicant list.
- A principal or any other WSS employee can submit names of potential applicants to the personnel department which immediately sends an application to the individual.
- When approved applicants are not available for a vacant position in a particular location, advertisements are run in area newspapers until the position is filled.
- Except in emergency situations, all new WSS employees are placed on the payroll the first Monday of each month so that new employee orientation classes do not have to be continuously offered.
- Salaries for all WSS school teachers, counselors, and librarians are set by the personnel department based upon the employee's career ladder level and the market competition in the unit's region. Exhibit 9-8 shows a sample work sheet for determining a selected teacher's salary for the Smith unit. As demonstrated in the work sheet, annual salaries of Windham school staff are higher than public school salaries because Windham staff work more days per year.
- Exhibit 9-9 shows the comparison school districts used to establish WSS teacher salary levels for each unit.
- Salaries for WSS principals are based upon the size of the school as shown in exhibit 9-10.
- Salaries for all other WSS administrative personnel are based upon job classifications as approved by the Windham Superintendent.

### *9.4.2 Findings*

Windham Exemplary Activities

- The WSS employee application approva' process is efficient and effective. Currently, the file contains the names of 540 approved applicants.
- WSS' process for utilizing area public school district salary levels as the basis for setting the salary pay plan for each Windham school ensures market competitiveness without overspending salary dollars. As shown in exhibit 9-11, average salaries of Windham staff are generally competitive (although the salaries of some categories are lower) with the average of Texas school districts with 10,000 to 14,999 students.

**EXHIBIT 9-8**
**(sample work sheet)**

WINDHAM SCHOOL SYSTEM

1992-93 SALARY SCHEDULE (WORKSHEET)

UNIT Smith

CONFIRMED BY TELEPHONE: 6-9-92

PERSON:

POSITION:

SCHOOL DISTRICT: La Mesa

PHONE NO: 806-872-5461

---

1. Academic Teachers and Librarians, Level 1

Bachelor's Degree:

FSP + $ 1850 for 10 months or 183 days 0-2 yrs exp w/district

MAster's Degree:

FSP + $ Same for 10 months or 183 days

Average of Bachelor's and Master's for 183 days is $ 1850 per year.

---

FSP + $ 1850 divided by 183 days = $ 10.109 per day times

220 days = $ 2,223.980 divided by 12 months = $ 185.332 per month. $185

---

2. Vocational Industrial Teacher (CVAE Industrial, ICT,VEH, Building Trades, Welding, etc.) Level 1

Same

3. Vocational Teacher (Homemaking, CVAE Office, Agriculture) Level 1

Same

## EXHIBIT 9-9

## COMPARISON SCHOOL DISTRICTS USED TO ESTABLISH TEACHER SALARIES FOR EACH UNIT

| Units | Comparison School District a/ | 1990 Enrollment of Comparison District b/ |
|---|---|---|
| Clements | Amarillo | 27,374 |
| Darrington, Retrieve, Ramsey I, II, & III | Angleton | 6,183 |
| Stiles | Beaumont | 20,627 |
| McConnell | Beeville | 4,192 |
| Clemens | Brazesport | 12,129 |
| Coffield, Michael | Cayugs | 562 |
| Roach | Childress | 1,234 |
| Robertson | Clyde Consolidated | 1,426 |
| Hightower | Dayton | 3,429 |
| Briscoe | Dilley | 1,002 |
| Boyd | Fairfield | 1,573 |
| Central, Jester I, III | Ft. Bend | 36,286 |
| Gatesville, Mt. View, Hilltop, Hughes | Gatesville | 2,139 |
| Torres | Hondo | 1,810 |
| Goree, Ellis I & II, Huntsville, Wynne | Huntsville | 6,401 |
| Smith | Lamesa | 2,904 |
| Terrell | Livingston | 3,051 |
| Eastham | Lovelady | 485 |
| Ferguson | Madsonville | 1,668 |
| Hobby | Marlin | 1,780 |
| Pack I & II | Navasota | 2,868 |
| Jordan | Pampa | 4,150 |
| Skyview | Rusk | 1,684 |
| Daniel | Snyder | 3,623 |
| Beto I, II & MROP | Westwood | 1,740 |
| Lewis | Woodville | 1,759 |

a/ SOURCE: Information obtained from WSS Personnel Department.
b/ SOURCE: Bench Marks, Texas Research League, July 1991.

EXHIBIT 9-10

## WINDHAM SCHOOL SYSTEM
## PRINCIPAL SALARIES BY UNIT

August 4, 1992

| Unit | Title | Salary |
|---|---|---:|
| Beto I | Principal III | $48,497 |
| Beto I-MROP | Principal IV | 49,882 |
| Beto II | Principal II | 45,032 |
| Boyd | Principal III | 48,497 |
| Briscoe | Principal III | 48,497 |
| Central | Principal II | 45,032 |
| Clemens | Principal II | 45,032 |
| Clements | Principal III | 48,497 |
| Coffield | Principal III | 48,497 |
| Daniel | Principal III | 48,497 |
| Darrington | Principal II | 45,032 |
| Eastham | Principal II | 45,032 |
| Ellis I | Principal II | 45,032 |
| Ellis II | Principal III | 48,497 |
| Ferguson | Principal III | 48,497 |
| Gatesville | Principal III | 48,497 |
| Goree | Part-time Principal | 42,960 |
| Hightower | Principal III | 48,497 |
| Hilltop | Principal II | 45,032 |
| Hobby | Principal III | 48,497 |
| Hughes | Principal II | 45,932 |
| Huntsville | Principal II | 45,032 |
| Jester I | Principal I | 44,244 |
| Jester III | Principal III | 48,497 |
| Lewis | Principal III | 48,497 |
| Michael | Principal II | 45,032 |
| Mt. View | Principal II | 45,032 |
| Pack I | Principal II | 45,032 |
| Pack II | Principal II | 45,032 |
| Ramsey I | Principal II | 45,032 |
| Ramsey II | Principal I | 44,244 |
| Ramsey III | Principal III | 48,497 |
| Retrieve | Principal I | 44,244 |
| Roach | Principal III | 48,497 |
| Skyview | Principal II | 45,032 |
| Wynne | Principal III | 48,497 |

## EXHIBIT 9-11

## COMPARISON OF WSS SCHOOL STAFF SALARIES WITH THE AVERAGE OF TEXAS PUBLIC SCHOOLS WITH ENROLLMENTS OF 10,000 - 24,999

| STAFF | WSS [a] | AVERAGE PUBLIC SCHOOLS [b] |
|---|---|---|
| Teacher | $33,109 | $33,374 |
| Librarian | $34,243 | $37,609 |
| Counselor | $37,406 | $42,174 |
| Diagnostician | $38,661 | $39,159 |
| Instructional Coordinator | $37,653 | $44,167 |
| Principal | $46,654 | $58,299 |

[a] SOURCE: Information obtained from Windham Personnel Department

[b] SOURCE: Derived from data in Salaries and Benefits in Texas Public Schools, 1991-92, Part 2, Administrative/Professional Personnel, Texas Association of School Boards and Texas Association of School Administrators. **Salaries adjusted to 220 days or 226 days per year, as appropriate, to be comparable to Windham salaries.**

- Because of the competitive salary levels, the staff retention rate for the Windham School System is exceptionally good with the following average longevity by staff category:

| | |
|---|---|
| - Vocational teachers | 4.83 years |
| - Academic teachers | 4.03 years |
| - Special education teachers | 5.95 years |
| - Chapter I teachers | 4.67 years |
| - Principals | 9.20 years |

Windham - Opportunities for Improvement

- The practice of placing new employees on payroll only on the first Monday of each month sometimes results in positions remaining vacant for several weeks even though the new employee is ready to begin work. In our interviews, principals stated that they sometimes have to use substitute teachers because a new teacher must wait until the first Monday of the next month to begin work.

- The recruitment/hiring practices of WSS units have not resulted in the hiring of significant proportions of minorities. As shown in exhibit 9-12 the result of current recruitment/hiring practices is a race/ethnic staffing pattern that is significantly different from student inmates and school district race/ethnic patterns throughout the state.

## EXHIBIT 9-12

## PERCENTAGE OF STAFF AND STUDENTS BY RACE/ETHNIC GROUP

| RACE/ETHNIC GROUP | WINDHAM STAFF | INMATE STUDENTS | STATEWIDE ISD STAFF |
|---|---|---|---|
| Black | 7.5% | 46% | 11.6% |
| Hispanic | 1.9 | 23 | 20.6 |
| White | 90.6 | 31 | 67.2 |
| TOTAL | 100.0% | 100.0% | 99.4% |

Source: Information furnished by WSS Personnel Department.

- The WSS Personnel Department's practice of limiting its affirmative action activities to recruiting trips at career and job fair days at selected Texas colleges and universities has resulted in an almost totally ineffective affirmative action program. Over the last two years, the college and university recruiting trips have resulted in applications from only nine minorities in one year and 10 the next. (Minority applications were received from other sources so that the total minority applications on file in 1991-92 is 270). The department keeps no records on the number of those applications from the career and job fair days which were approved or how many were ultimately hired.

### Private Units - Opportunities for Improvement

- As shown in exhibit 9-13, the staff turnover rates at the privately-managed schools is excessively high, resulting in an extremely low average staff longevity.

## EXHIBIT 9-13

## STAFF TURNOVER AND LONGEVITY RATES AT WINDHAM AND PRIVATE UNITS *, 1992

| STAFF | 1991-92 TURNOVER RATE | | | AVERAGE YEARS LONGEVITY | | |
|---|---|---|---|---|---|---|
| | WINDHAM | WACKENHUT | CCA | WINDHAM | WACKENHUT | CCA |
| Teachers | 9.1% | 28.1% | 33.3% | 4.6 | .9 | 1.1 |
| Principals | 14.9% | 100.0% | 100.0% | 9.2 | .4 | .5 |

SOURCE: Derived from information obtained from Windham and the private units.

** In evaluating these statistics, it is important to recognize that the private units have been operational for less than five years.

- The rapid turnover of school staff in the private units has resulted in a lack of long-range planning and commitment to long-term goals. (Staff members who are planning to leave as soon as they get a better job offer, do not make long-term program plans.) In fact, the private unit at Cleveland did not respond to our request for information because its principal who had been there only a year had resigned.

- At least part of the reason for the high turnover rate at the private units is the relatively low salary and benefit packages. As shown in exhibit 9-14, the average salaries of the private units are significantly below those of comparable Texas public schools. As shown in exhibits 9-15, and 9-16, the total employment package at the private units is significantly less than the Windham employment package.

### EXHIBIT 9-14

### COMPARISON OF STAFF SALARIES IN PRIVATE PRISON SCHOOLS TO TEXAS SCHOOL DISTRICTS WITH ENROLLMENTS OF 1,000 - 2,499

| STAFF | WACKENHUT [a] | CCA [a] | AVERAGE TEXAS SCHOOL DISTRICTS [b] |
|---|---|---|---|
| Teacher | $24,831 | $22,000 | $33,311 |
| Librarian | c/ | $19,452 | $37,450 |
| Counselor | c/ | $23,000 | $40,135 |
| Diagnostician | d/ | d/ | $38,170 |
| Instructional Coordinator | d/ | d/ | $41,438 |
| Principal | $30,750 | $36,756 | $47,032 |

[a] SOURCE: Information furnished by each unit. CCA based on information from one unit and Wackenhut's two units.

[b] SOURCE: Derived from data in Salaries and Benefits in Texas Public Schools, 1991-92, Part 2, Administrative/Professional Personnel, Texas Association of School Boards and Texas Association of School Administrators. Salaries adjusted to 220 days or 226 days per year, as appropriate, to be comparable to Windham salaries. Converted to 235 day work year.

[c] No full-time positions; contracted services are used.

[d] No staff.

## EXHIBIT 9-15

## COMPARISON OF COMPENSATION AND SCHOOL PRINCIPAL TURNOVER RATES BETWEEN WINDHAM AND PRIVATE CONTRACTORS

| Type of Campus | Average Annual Salary | Paid Fringe Benefits | | | | | Annual Percent Turnover | Average Longevity (years) |
|---|---|---|---|---|---|---|---|---|
| | | Health Ins. | Life Ins. | Dental Ins. | Retirement | Time Off [c] | | |
| Windham [a] | $46,584 | x | x | x | x | 46 days | 14.9 | 9.2 |
| Wackenhut [b] | $30,750 | x | x | d/ | | 25 days | N/A | 0.4 |
| CCA [b] | $36,756 | x | x | | x | 36 days | N/A | 1.0 |

a/ Based on average for all 36 Windham units.
b/ Based on information furnished by the company for one unit only.
c/ Includes non-contracted time, vacation, sick days, and holidays; based on 260 work days per year
d/ One of the two units provide dental insurance.

## EXHIBIT 9-16

## COMPARISON OF COMPENSATION AND SCHOOL TEACHER TURNOVER RATES BETWEEN WINDHAM AND PRIVATE CONTRACTORS

| Type of Campus | Average Annual Salary | Paid Fringe Benefits | | | | | Annual Percent Turnover | Average Longevity (years) |
|---|---|---|---|---|---|---|---|---|
| | | Health Ins. | Life Ins. | Dental Ins. | Retirement | Time Off [c] | | |
| Windham [a] | $33,109 | x | x | x | x | 52 days | 9.1 | 4.6 |
| Wackenhut [b] | $24,831 | x | x | d/ | | 25 days | 28.1 | 0.9 |
| CCA [b] | $22,000 | x | x | | x | 26 days | 33.3 | 1.1 |

a/ Based on average for all 36 Windham units.
b/ Based on information furnished by the company for one unit only.
c/ Includes non-contracted time, vacation, sick days, and holidays; based on 260 work days per year
d/ One of the two units provide dental insurance.

- As shown in exhibit 9-17, the recruiting and hiring practices of the private units have not resulted in significant proportions of minority staff.

EXHIBIT 9-17

COMPARISON OF MINORITY STAFFING PERCENTAGES
TO MINORITY STUDENT PERCENTAGES FOR PRIVATE UNITS, 1992

| | WACKENHUT | | CCA | |
|---|---|---|---|---|
| RACE/ETHNIC GROUP | SCHOOL STAFF | STUDENTS | SCHOOL STAFF | STUDENTS |
| Black | 1% | 47% | 0% | 41% |
| Hispanic | 1% | 24% | 0% | 28% |
| White | 98% | 29% | 100% | 30% |
| Other | 0% | 0% | 0% | 1% |
| Total | 100% | 100% | 100% | 100% |

SOURCE: Information obtained from the two corporations -- data from two Wackenhut units and one CCA unit.

### *9.4.3 Recommendations*

- With the significant growth in staff anticipated due to the opening of eight new units in 1992-93, new employees should be placed on the payroll both the first and third Mondays of each month. The new staff orientation and training programs should be adjusted as necessary.

- The WSS personnel office and the private units should develop new and more aggressive affirmative action plans for hiring additional Black and Hispanic staff. Assistance in the development of the Windham affirmative action plan should be sought from the Education Service Centers and school districts which have been successful in recruiting minority staff.

- The WSS should establish time specific minority staff composition goals in accordance with the provisions of Section 105 of the 1992-93 Texas Appropriations Act.

- As a condition for contract renewal, the private units should be required to submit to TDCJ an action plan for reducing the excessive turnover of teachers and administrators. The plan should include the implementation of a more competitive salary and benefit package. Implementation of the plan should be monitored during the WSS annual review of education programs in each private prison.

## 9.5 Staff Development

Staff development consists of those programs and activities designed to improve the ability of current staff to perform their jobs.

### 9.5.1 Current Situation

Windham Personnel System

- The responsibility for overseeing all Windham TDCJ and WSS staff development programs was recently (this year) assigned to the WSS Personnel Department. Previously, the responsibility was assigned to the Planning and Evaluation Section.
- All new Windham employees receive a five-day concentrated orientation and training which addresses the following topics:
    - attendance accounting
    - Texas Teacher Appraisal System (TTAS)
    - safety presentation
    - security training objectives
    - contraband
    - use of force
    - hostage situations
    - what to do if taken hostage
    - prison slang
    - employee/inmate relations:
        - "inmates as students"
        - "professional interaction with students"
        - "do's and don'ts of an inmate confrontation"
        - "anatomy of a set-up"
    - classification of inmates
    - inmate count procedures
    - inmate gangs
    - support service inmates
    - sensitive records
    - substance abuse
    - AIDS training
    - guidelines for faculty
- Windham has a comprehensive staff development plan. The training requirements for each type of employee as contained in the plan are shown in exhibit 9-18.

## EXHIBIT 9-18
## WSS REQUIRED ANNUAL TRAINING BY ASSIGNED POSITION

| [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] |
|---|---|---|---|---|---|---|---|
| Pre-Service Requirements | 3-5 days of pre-service training | 3-5 days of pre-service training | 3-5 days of pre-service training | 3-5 days of pre-service training | 3-5 days of pre-service training | 3-5 days of pre-service training | 3-5 days of pre-service training |
| Staff Development Requirements | Not less than 4 days/year | Not less than 4 days/year<br>--<br>6 semester hours every 5 years | Not less than 4 days/year<br>--<br>6 semester hours every 5 years | Not less than 4 days/year<br>--<br>6 semester hours every 5 years | Not less than 4 days/year<br>--<br>6 semester hours every 5 years | Not less than 4 days/year<br>--<br>6 semester hours every 5 years | Not less than 4 days/year<br>--<br>6 semester hours every 5 years * |
| Instructional Leadership Training | | | | 36 hrs for school administrators | 36 hrs for school administrators | 36 hrs for school administrators | 36 hrs for school administrators |
| General Management Training | | | | Required annual training in mgmt & leadership development as mandated by House Bill 72 | Required annual training in mgmt & leadership development as mandated by House Bill 72 | Required annual training in mgmt & leadership development as mandated by House Bill 72 | Required annual training in mgmt & leadership development as mandated by House Bill 72 |
| Misc. Training | AIDS Training (1 hr)<br>Substance Abuse Training (1 hr)<br>Attendance Acctng for unit secretaries (1 hr)<br>Safety Training (1 hr)<br>Integrated Computer Learning Systems Training (for paraprof working w/comp. labs)<br>Workshops & Conf. (apprv on indv. basis) | AIDS Training (1 hr)<br>Substance Abuse Training (1 hr)<br>TTAS Teacher Orientation<br>Safety Training (1 hr)<br>Drug Educ into content curric. for all teachers<br>Integrated Computer Learning Systems Training (for teachers working w/comp. labs)<br>Workshops & Conf. (apprv on indv. basis)<br>Pesticide Training for Horticulture Teachers<br>Social & Civic Skills Training for Adult Crossroads Program<br>Voc. special needs for voc. teachers who teach spec. educ students<br>--<br>Refrig training for air cond. repair teachers | AIDS Training (1 hr)<br>Substance Abuse Training (1 hr)<br>Safety Training (1 hr)<br>Workshops & Conf. (apprv on indv. basis) | AIDS Training (1 hr)<br>Substance Abuse Training (1 hr)<br>TX State Mgmnt & Dev. Cntr Training (as auth by supt)<br>Safety Training (1 hr)<br>Workshops & Conf. (apprv on indv. basis) | AIDS Training (1 hr)<br>Substance Abuse Training (1 hr)<br>TX State Mgmnt & Dev. Cntr Training (as auth by supt)<br>Safety Training (1 hr)<br>Integrated Computer Learning Systems Training (for supervisors working w/comp. labs)<br>Workshops & Conf. (apprv on indv. basis)<br>Social & Civic Skills Training for Adult Crossroads Program<br>TTAS training<br>TTAS update training<br>TTAS recertification | AIDS Training (1 hr)<br>Substance Abuse Training (1 hr)<br>TX State Mgmnt & Dev. Cntr Training (as auth by supt)<br>Safety Training (1 hr)<br>Workshops & Conf. (apprv on indv. basis)<br>Equal Employment Opportunity Training<br>New principal orientation training<br>TTAS training<br>TTAS update training<br>TTAS recertification<br>Staff Development for principals (required by Senate Bill 1) | AIDS Training (1 hr)<br>Substance Abuse Training (1 hr)<br>TX State Mgmnt & Dev. Cntr Training (as auth by supt)<br>Safety Training (1 hr)<br>Equal Employment Opportunity Training<br>TTAS training<br>TTAS update training<br>TTAS recertification |

SOURCE: WSS Training Plan, December, 1991

* Admn. personnel holding non-certified positions are exempt from the above

- Windham offers six days of staff in-service training and development per year, including a two-day August workshop which is provided at the regional level. The other four in-service days are scheduled at the unit level and include generic training determined appropriate for all unit staff.
- Staff development needs assessments are conducted by each principal who, in turn, works with the regional administrator to plan and coordinate appropriate training programs.

### Windham TDCJ Staff Development

- Windham TDCJ staff participate in the same staff development programs as Windham staff.

### Private Unit Staff Development

- Each of the privately managed units are responsible for designing its own staff development program.
- The staff of all private units are invited to participate in Windham staff development programs and sometimes do.
- The Wackenhut units provide one day of staff development per month to their school staff.
- The CCA units provide eight days of staff development per year.
- Each prison school unit managed by Wackenhut and CCA conducts its own needs assessment.

## *9.5.2 Findings*

### Windham School System - Exemplary Programs

The five-day orientation and training program for new Windham employees is a highly effective program.

- The program is highly structured with well organized, pre-printed materials.
- Employees receive training which is critical to both the performance of their jobs and their status as employees.
- All employees who we interviewed were very satisfied with their initial orientation and training.

The two-day August training sessions held in each region contain a multitude of staff development opportunities for all unit staff with several concurrent programs from which to choose.

Windham School System - Opportunities for Improvement

While the five-day orientation and training program for new employees is effective, we found that little, if any, additional training and support are provided to the entire unit staff when a new unit opens. The lack of on-site technical assistance and training by central and regional administrators when a new unit opens has hindered a smooth start-up for these new schools.

In our surveys, principals, wardens, and professional staff (primarily teachers) were asked to rate the opportunities provided by the WSS to improve the skills of teachers and principals. The response to these two items by the WSS teachers and principals showed the most concern among all items for needed improvements. A total of 42% of the principals and 45% of the professional staff expressed the opinion that the current opportunities provided to improve the skills of teachers are either *fair* or *poor*. Similarly, 42% of principals and 21% of teachers indicate the opportunities provided to improve the skills of principals are *fair* or *poor*. (NOTE: As would be expected, 41% of teachers responded *don't know* to this item.)

Our on-site reviews revealed that the discontent about training opportunities was most prevalent among staff who worked with both TDCJ and WSS computers. Many employees with computer entry and processing responsibilities stated they received little or no training to perform their job; this finding was most pronounced in the new units in the Western region.

The 1992 SACS report identified the following area of need related to staff development:

> *Funds for professional development (conferences/workshops/visits) may need some attention. New ideas are important as the system grows and expands.*

Although it is difficult to determine what is meant by the SACS statement, "may need some attention", we found, and suspect that the SACS Committee also found, that insufficient dollars are being appropriated to support staff development in WSS.

Exhibit 9-19 identifies budget and expended funds for staff development for the past three years excluding travel.

EXHIBIT 9-19

ANNUAL WSS STAFF DEVELOPMENT BUDGET AND EXPENDITURES

| | AMOUNT BUDGETED | AMOUNT SPENT | AVERAGE SPENT PER EMPLOYEE |
|---|---|---|---|
| 1989-90 | $4,692 | $5,213 | $ 8.22 |
| 1990-91 | $7,892 | $8,793 | $11.42 |
| 1991-92 | $8,211 | $7,669 | $ 9.28 |

In school districts of a comparative size in Texas and other states, funds provided for staff development for teachers and administrators are significantly greater. For example, in 1992 MGT completed a management audit of La Joya ISD, a relatively poor school district in the Rio Grande Valley Region which is similar in facility size to Windham (about 750 teachers). The La Joya budget is slightly less than one million dollars per year for all employee staff development (including substitute teachers for teacher absences during training, consultant and contractual services, and travel). This amount represents about 2% of La Joya ISD's total annual budget.

According to SACS standards and WSS procedures (as stated in Administrative Procedure 7.17 of the WSS Policy and Procedures Manual):

> *Each member of the school's instructional staff shall have earned at least a bachelor's degree from an institution accredited by the SACS or another regional accrediting agency and shall hold a non-emergency state certificate for teaching in the grades, levels, or areas in which he works. Furthermore, each member of the instructional staff shall be required to earn at least six (6) semester hours of college credit during each five (5) year period of employment or the equivalency as approved by the superintendent....... These six (6) semester hour or their equivalency shall be in those areas of work designed to increase competency of the teacher in the area being taught.*

WSS teachers are adult educators. Texas has no adult education certification; therefore, adult education teachers in independent school districts throughout Texas do not have to be certified. Since a very small percentage of a public school district's faculty are adult educators, a lack of certification by teachers of adult students does not affect SACS accreditation in regular school districts.

In Windham, where all teachers are adult educators, state certification is required by Windham policy to comply with SACS standards. For the most part, WSS teachers are certified in elementary or secondary education and not, as stated in WSS Administrative Procedure 7.17 "in the grades, levels, or areas" in which they work since this certification does not exist (exceptions include special education, vocational education, and other specialized areas).

The same terminology contained in Procedure 7.17 also is applied to staff development through a requirement that teachers, ".... acquire six semester hours or 96 clock hours "in those areas of work designed to increase competency in the area being taught". To meet this requirement, our analysis showed teachers are permitted to take courses in elementary and early childhood education to keep current in their field of training and certification, as well as legitimately fulfill the requirements of the WSS administrative procedure.

We analyzed the types of in-service courses being taken by WSS ISD teachers from the Region 6 Educational Service Center and found the following:

- no classes were being taken in adult education;
- most classes were taken in a variety of special education exceptionalities;
- many classes were being taken in both early childhood and elementary education;
- few classes were being taken by WSS guidance and counseling staff;
- gifted and talented classes were being taken by Windham teachers.

Since Region 6 is located in Huntsville, the majority of the in-service courses taken by WSS employees occurs at the Region 6 Educational Service Center. In fact, the documentation which we received from Region 6 stated that this Center provides staff development services to personnel in prison units throughout the state.

The 1990-91 Annual Activity Report for WSS employees at the Region 6 Education Service Center is shown in exhibit 9-20. The WSS contract with the Region 6 Education Service Center in 1990-91 to provide this service totaled $3,980.

EXHIBIT 9-20

### ANNUAL ACTIVITY REPORT FOR WSS SERVICES PROVIDED BY REGION 6 EDUCATION SERVICE CENTER 1990-91

| PARTICIPANTS BY POSITION | NUMBER PARTICIPATING * |
|---|---|
| Principals | 89 |
| Teachers | 417 |
| Central Office Administration | 95 |
| Other Administration | 84 |
| Certified Support Personnel | 174 |
| Non-Certified Support Personnel | 9 |

* Represents a duplicate count.

Source: Region 6 Education Service Center, 1992.

Similar information from the Annual Accounting Reports from other Education Service Centers revealed that the participation of Windham employees at training programs at the other centers is minimal at best. For example, in Region 4 (Houston) and Region 16 (Amarillo), we found no participation of unit administrators and staff in any in-service provided by the Education Service Center in their area in 1990-91 or in 1991-92.

### *9.5.3 Recommendations*

- Additional technical assistance and training should be provided to new unit staff by central and regional administrators prior to and immediately following the opening of a new unit. We recommend that this assistance and training be provided at the unit level.
- The Windham School System should develop and implement a plan to significantly improve in-service training of teachers, counselors, and administrators. The lack of sufficient in-service opportunities is especially apparent among teachers with similar assignments (vocational educators, teachers of basic skills, etc.). (The one exception being special education teachers where ample opportunities are provided through the Education Service Center).
- The Education Service Center in each region (not just Region 6 in Huntsville) should be contacted by each unit to provide both free and fee-based services, especially those services directly related to teaching adult students.
- WSS administrators should seek an exemption from SACS as it relates to teacher certification. If an exemption cannot be granted by SACS, then the WSS should not continue to seek accreditation by this regional accrediting association as certification is not required by state law.
- The WSS policy should not permit courses in elementary and early childhood education to be used to meet the six semester hour in-service requirement; rather course offerings in adult education should be augmented and required.

### *9.5.4 Financial Impact*

- We recommend that the WSS increase its annual budget for staff development by $50,000 to augment program offerings in adult education.

### *9.5.5 Implementation Strategies*

- To conserve on additional costs, instructional supervisors, other regional staff, and lead teachers should be permitted to attend relevant national and state conferences and workshops and, as a requirement for attendance, train other appropriate staff at the unit level in the skills and knowledge acquired.
- Additionally, to conserve on costs, the Education Service Center in each region should be used, to the maximum extent possible, to provide training for subject area teachers and other WSS staff, especially in adult education. The Education Service Centers perform this service free or at a minimal cost to each school district in Texas. TEA also provides such training as part of their technical assistance requirements to school districts throughout the state. Windham has not made sufficient use of either service.

## *9.6 Performance Assessment*

Performance assessment involves those activities related to the evaluation of staff performance for the purpose of assessing staff development needs, providing feedback to staff on their areas of strengths and weaknesses, establishing annual merit salary increases, determining employee qualifications for promotion, and identifying employees whose performance does not merit continued employment.

### *9.6.1 Current Situation*

#### Windham Personnel Performance System

The WSS Board Policy 7.18 requires annual confidential evaluations by appropriate supervisory and administrative personnel for all administrators, supervisors, teachers, teacher aides, and clerical aides. Evaluations for administrative and supervisory personnel are due in the Superintendent's office on June 30 of each year. After review by the Superintendent, the evaluations are placed in the employee's personnel file. A separate evaluation file for teachers is maintained in each unit. The policy does not specify the disposition of evaluations on teacher or clerical aides.

The Windham School System has specifically designed personnel evaluation instruments for the positions of regional administrator, curriculum director, principal, counselor, teacher, and clerical aide. The instruments for regional administrator, curriculum director, principal, and counselor are designed to evaluate the individual on eight domains that are specified in their job descriptions:

- Instructional management
- School/organizational climate
- School/organizational improvement
- Personnel management
- Administration and fiscal/facilities management
- Student management
- School/community relations
- Professional growth and development.

The evaluation instrument for school principals includes one additional domain, Campus Performance Objectives.

The teacher evaluation instrument used in the WSS is the standard Texas Teacher Appraisal System (TTAS) instrument used in all Texas school districts as a requirement to participate in the Career Ladder program. The TTAS instrument covers five domains of effective teaching with from three to eight observable indicators for each domain.

All teacher evaluations are performed by the principal and a second appraiser. Both the principals and the other appraisers are trained in the use of the TTAS. Annual training updates in conducting teacher appraisals are conducted as required by the state to maintain reliable appraisals. Similar annual training sessions are not conducted regarding the training of administrators in the evaluation of non-teaching personnel.

TDCJ Personnel Performance Evaluation

Windham TDCJ employees are evaluated in accordance with TDCJ evaluation policies using the TDCJ evaluation instrument. The TDCJ employees are rated after 30 days, five months, and annually on their anniversary date on simple evaluation forms. Personnel are evaluated in two domains: performance qualities and supervisory qualities. Each domain has indicators such as productivity, cooperation, and communication. The evaluator rates employees on a scale of 1-5 on each indicator.

The teacher/clerical aide instrument used by both WSS ISD and TDCJ includes domains on personal appearance, relationships with others, mental alertness, office skills, and general. The indicators, such as dressed neatly, friendly toward others, positive attitude, and profits from mistakes are general and subjective.

Private Unit Personnel Performance Evaluations

The privately-operated units conduct performance appraisals of employees utilizing their own policies and procedures. The Wackenhut unit uses the TTAS for teachers and the Wackenhut instrument for all other employees. The principal observes teachers two times each year using the TTAS instrument. A second appraiser is not used as required by TEA and practiced by WSS. The Corrections Corporation of America performance appraisal instrument, used for all employees, contains 17 domains with a descriptor for each. The instrument is not designed for the appraisal of teaching performance.

### *9.6.2 Findings*

Windham System Exemplary Practices

- A valid evaluation instrument must measure the knowledge and skills required for a particular job assignment. The TTAS has been validated to measure skills of the teachers that have been found through research to be essential for effective teaching. In comparing the evaluation instruments to job descriptions in the WSS, we found that the evaluation instruments for administrators and supervisors are designed to assess the same domains that are listed in the job descriptions. (Yet as noted in chapter 5, in some cases the job descriptions are too general. For example, a "service to units" requirement for regional staff is not specified.)

- The TTAS is considered an appropriate and meaningful evaluation system by most of the teachers and principals interviewed. The use of outside appraisers and the training of principals to use the system consistently add significantly to the objective and effective use of the TTAS instrument.
- The WSS provides a second trained appraiser for all appraisals conducted. The WSS policy for the use of the TTAS requires that a third appraiser be used if the difference between the principal's appraisal and the second appraiser rating of a given teacher is more than 15 points. We found very few instances where the appraisals differed by more than 15 points, indicating a high level of inter-rater reliability.

## Windham ISD System-Opportunities for Improvement

- An analysis of TTAS scores by WSS regions revealed considerable differences in points awarded, particularly exceptional quality (EQ) points. EQ points can be awarded for quality of student behavior and quality of teacher behavior. Decisions made by the appraiser are to be "holistic", taking the whole classroom situation into consideration. Appraisers can give either zero EQ points or three EQ points under every criterion in Domains I through IV of the TTAS. As shown in exhibit 9-21, a summary of EQ points for 1991-92 by the second appraiser indicates that teachers in the Western and Central Regions were awarded much higher numbers of EQ points per teacher than teachers in the other two regions.

EXHIBIT 9-21

EXCEPTIONAL QUALITY POINTS AWARDED BY REGION
1991-92

| | REGION | | | |
|---|---|---|---|---|
| | CENTRAL | NORTHERN | SOUTHERN | WESTERN |
| Number of Teachers | 184 | 198 | 134 | 58 |
| Total EQ Points Awarded | 572 | 435 | 174 | 266 |
| EQ Points Awarded Per Teacher | 3.1 | 2.2 | 1.3 | 4.6 |

- One advantage of using a common appraisal system, such as the TTAS, is that appraisal points can be compared from appraiser to appraiser, from unit to unit, and from region to region, providing a good assessment of the reliability of the evaluation system. It is not possible to conduct this type of reliability check among the several different evaluation systems used in WSS, TDCJ, and by the private contractors.

- The WSS participates in the state career ladder program for teachers. The Board has adopted the career ladder policy recommended by the state. Non-degree vocational teachers and counselors are not eligible for participation in the program. The WSS policy does not permit teachers to transfer career ladder eligibility from other Texas school districts. They must meet eligibility requirements after employment by WSS. As shown in exhibit 9-22, all regions except the new Western Region have more than 60% of their teachers on career ladder.

EXHIBIT 9-22

WSS CAREER LADDER AWARDS BY REGION
1991-92

| | REGION | | | |
|---|---|---|---|---|
| | CENTRAL | NORTHERN | SOUTHERN | WESTERN |
| Number of Teachers | 184 | 198 | 134 | 58 |
| Number of Career Ladder Teachers | 118 | 118 | 83 | 21 |
| Percentage of Teachers on Career Ladder | 64% | 60% | 62% | 36% |

### *9.6.3 Recommendations*

- All personnel responsible for appraisal of personnel should be trained to reliably use the appropriate evaluation instruments.

- Comparative analysis of TTAS scores, particularly the more subjective exceptional quality (EQ) points, should be conducted annually among the various units and regions for reliability checks.

- Similar comparative analysis of evaluation results by position for the evaluation instruments utilized by TDCJ and the private units should also be conducted annually for reliability checks.

- Through the annual evaluation process, administrators should be held accountable for the service they provide to unit staff (see chapter 5).

### 9.6.4 Financial Impact

Since the WSS pays the full career ladder supplement to all eligible teachers, some small cost savings may be realized by judicial application of the more subjective exceptional quality (EQ) points.

### 9.6.5 Implementation Strategies

Training should be provided in 1992-93 to all personnel involved in conducting appraisals. The comparative analysis of evaluation results should be conducted by the WSS personnel office commencing in 1992-93.

# 10.0 FINDINGS AND RECOMMENDATIONS RELATED TO TECHNOLOGY MANAGEMENT

# *10.0 FINDINGS AND RECOMMENDATIONS RELATED TO TECHNOLOGY MANAGEMENT*

It is critical that the Windham School System have in place an information management system to identify the progress and location of the student inmates. This component focuses on the use of management information technologies within the Windham School System. The chapter is organized into the following four sections:

**Current Environment:**

Describes how technology is utilized within the WSS.

**Findings:**

Identifies exemplary practices as well as areas where improvement is needed.

**Recommendations:**

Suggests recommended actions to improve current working environment.

**Financial Impact and Implementation Strategies:**

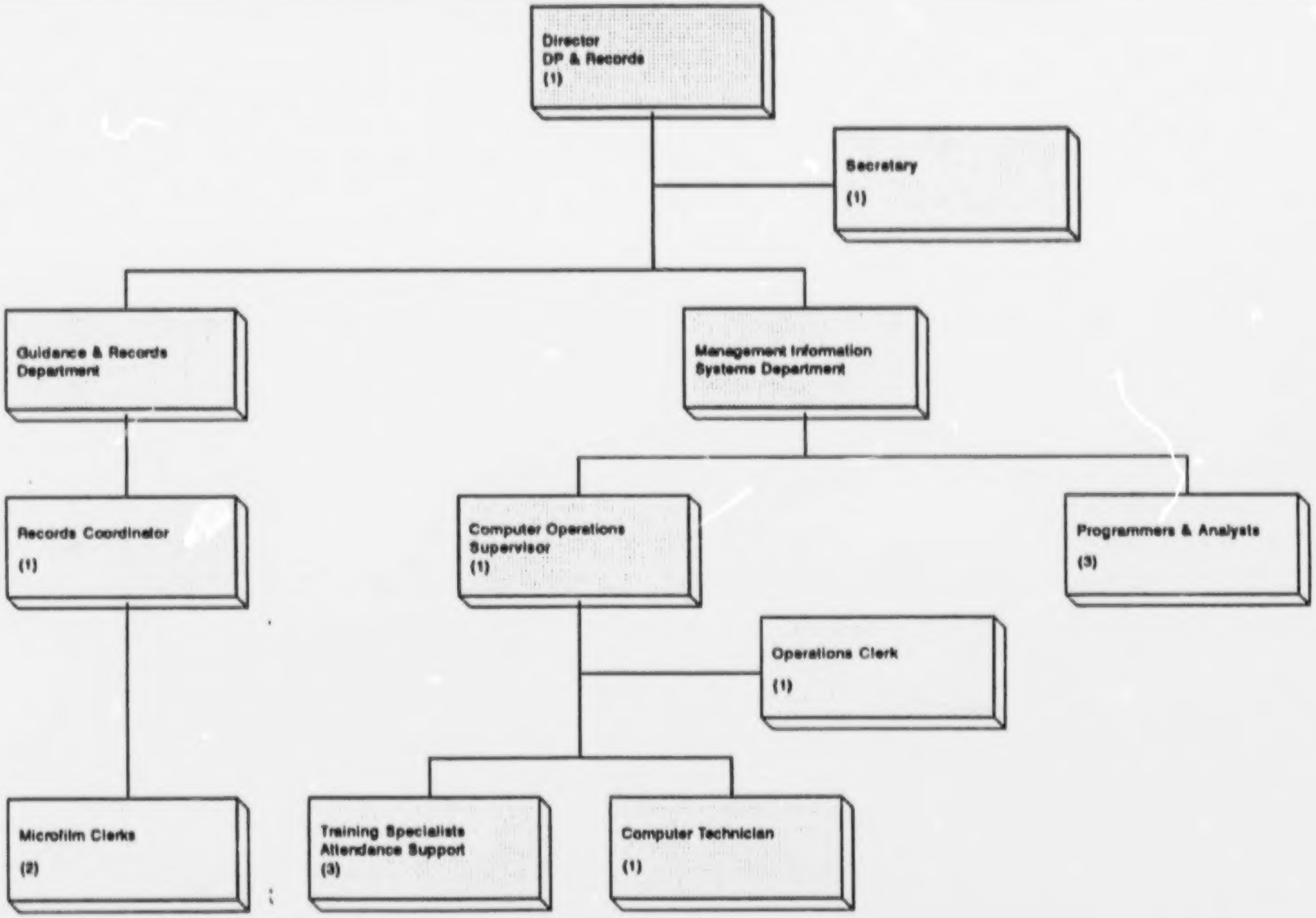
Details the tasks necessary to implement the recommendations.

## *10.1 Current Environment*

Data Processing & Records Department: Automation support for all administrative functions and educational administrative support functions within the public prison units is primarily provided by a staff of full-time professionals within the Data Processing & Records Department in the central office of the Windham School System. The department organization is shown in exhibit 10-1.

EXHIBIT 10-1

# MIS ORGANIZATION



Director
DP & Records
(1)

Secretary
(1)

Guidance & Records Department

Management Information Systems Department

Records Coordinator
(1)

Computer Operations Supervisor
(1)

Programmers & Analysts
(3)

Operations Clerk
(1)

Microfilm Clerks
(2)

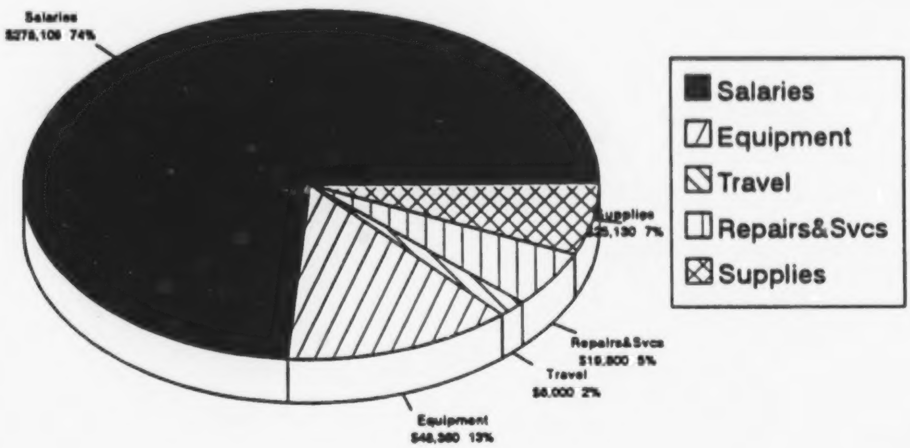
Training Specialists
Attendance Support
(3)

Computer Technician
(1)

The Data Processing Department is composed of a liaison support group and programmers. The liaison group is composed of five employees who support the attendance and participation tracking needs for the various prison units across the state. This group is composed of one manager, one hardware technician who installs and re-installs equipment, and three liaisons who help unit personnel with any problems relating to the student inmate tracking system. The programming group is made up of three full-time programmers, one of which is responsible for the student inmate tracking system, another supports all administrative functions within Windham, and the third is responsible for input and access of all education data to be housed on the TDCJ mainframe.

The total budget allocated to the Data Processing and Records Department is just under $400,000 and represents less than 1% of the WSS overall budget. The pie chart in exhibit 10-2 portrays the allocation within that budget. Departments requesting additional hardware or software place those requests for funds in their budget request.

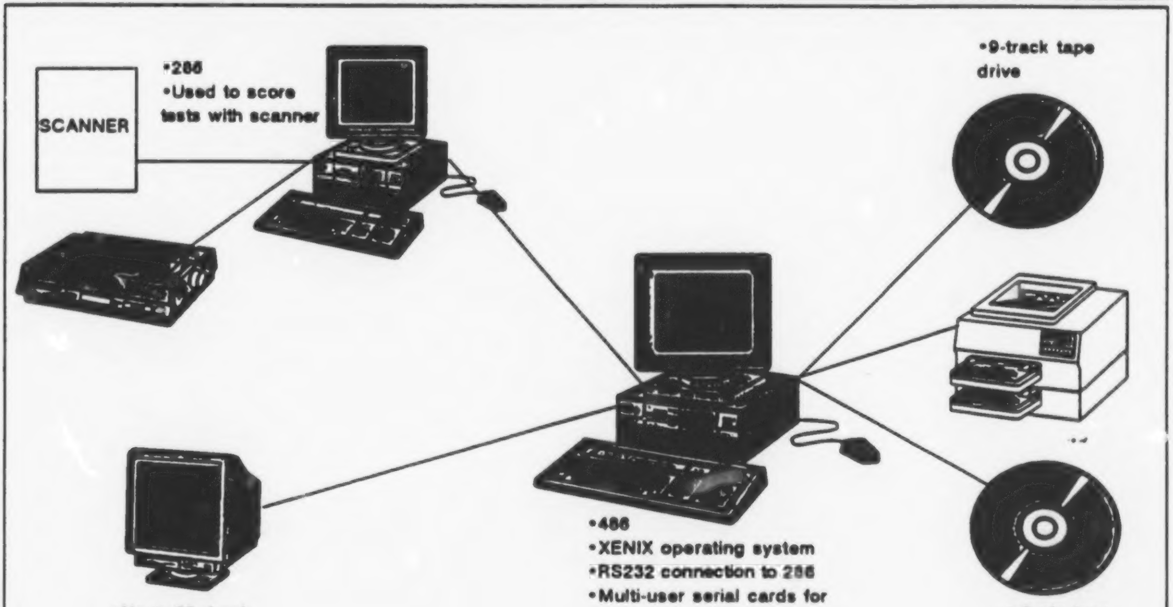
EXHIBIT 10-2
DATA PROCESSING AND RECORDS DEPARTMENT BUDGET



The hardware supporting the Data Processing Department is used primarily to score GED and EA tests; consolidate attendance data for reporting purposes; to create tapes of GED and EA test scores to update the TDCJ computer system; and to provide programmer support for coding and testing new software and enhancements. The hardware, as shown in exhibit 10-3, is composed of a 486 personal computer supported by two tape drives and a laser printer. A 286 personal computer is connected to the 486 and supports a scanner used to score the GED and EA tests electronically. All equipment resides within the Data Processing Department in the central office.

EXHIBIT 10-3

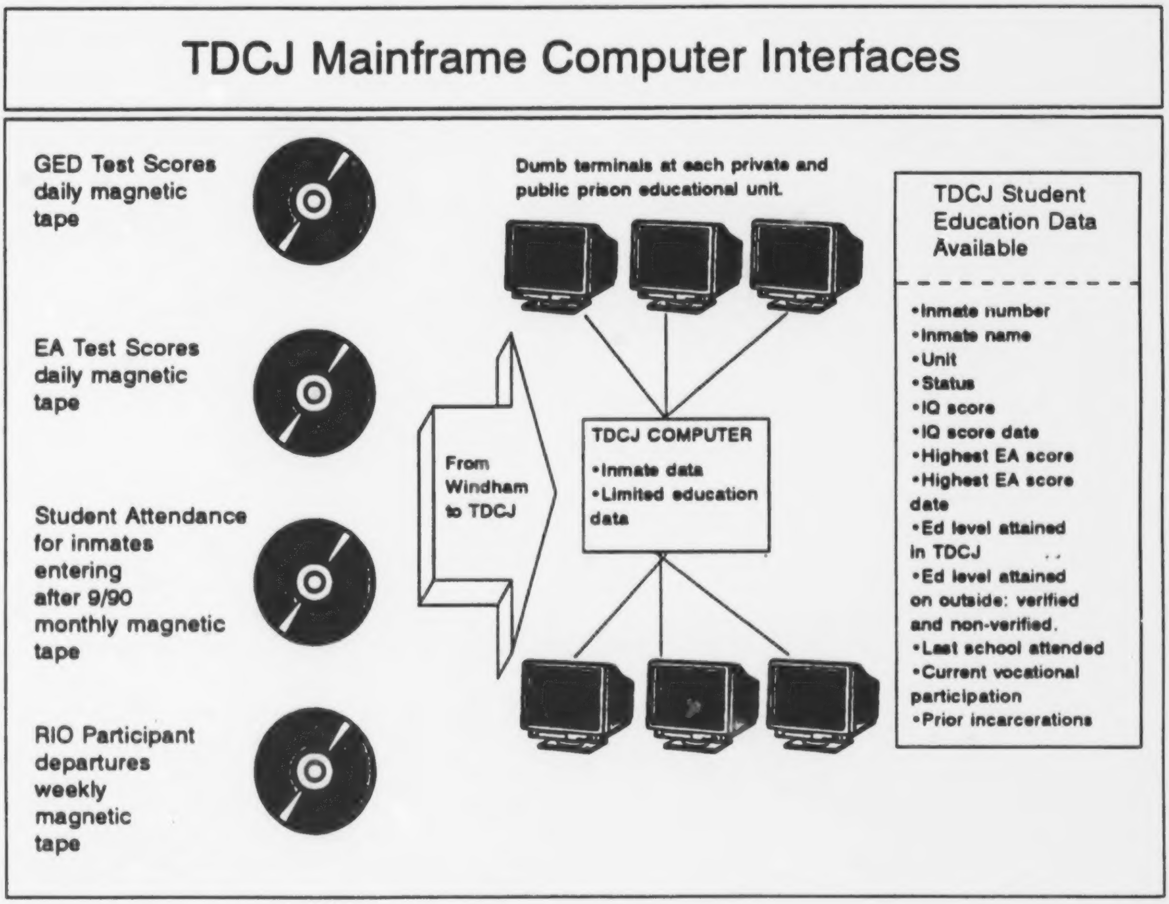
Data Processing Department's Hardware Configuration


SCANNER
•286
•Used to score tests with scanner
•9-track tape drive
•Up to 32 dumb terminals
•486
•XENIX operating system
•RS232 connection to 286
•Multi-user serial cards for dumb terminal serial devices
•1.3 gig tape drive for backup

•Resides within the Data Processing department

GED and EA scores are updated daily on the TDCJ computer using magnetic tapes. However, only the highest EA score attained is placed on the computer. Additionally, the GED score information reflects only whether they passed or failed the GED test in total. No scores are shown for the various components. Other data passed onto the TDCJ mainframe include attendance records for inmates entering TDCJ after September, 1990 and Project RIO participants after leaving the system. Exhibit 10-4 shows all interfaces occurring through the preparation and delivery of a magnetic tape to the TDCJ computer facilities in Huntsville.

**EXHIBIT 10-4**


TDCJ Mainframe Computer Interfaces
GED Test Scores daily magnetic tape
EA Test Scores daily magnetic tape
Student Attendance for inmates entering after 9/90 monthly magnetic tape
RIO Participant departures weekly magnetic tape
From Windham to TDCJ
Dumb terminals at each private and public prison educational unit.
TDCJ COMPUTER
•Inmate data
•Limited education data
TDCJ Student Education Data Available
•Inmate number
•Inmate name
•Unit
•Status
•IQ score
•IQ score date
•Highest EA score
•Highest EA score date
•Ed level attained in TDCJ
•Ed level attained on outside: verified and non-verified.
•Last school attended
•Current vocational participation
•Prior incarcerations

A major project is underway to increase the educational data available when accessing the TDCJ computer terminals. The expanded data will include participation & attendance data; inmate educational achievement data; special status; GED test scoring information; EA test scoring information and inmate educational summary information. However, data will continue to be updated monthly via magnetic tape and will require the units to continue submitting diskettes monthly.

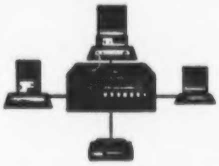
The Records Division is responsible for archiving all inmate education records. They accomplish this by microfilming 226,000 inmate records annually and shredding any non-essential documents. Additionally, this division is responsible for establishing the GED and EA testing standards and procedures utilized throughout the Windham school district (not including the private prison units).

Central Office Automation: Automation support is provided for certain business functions such as budget, personnel management, applicant tracking and GED/EA test scoring. These packages, which were built in-house and provide on-line access within the central administration office, rely on proper input from each of the educational units throughout the State. Consequently, all data are transferred from each unit to the central office by means of data diskettes transported via truck mail. These software applications run on a personal computer employing the UNIX/XENIX operating system able to support from 4 to 24 dumb terminals and/or printers at any given time. Each major office has a cluster of computers available to them for their automation needs. The chart in exhibit 10-5 pictorially presents the software and hardware support provided to each of these central office functions.

EXHIBIT 10-5

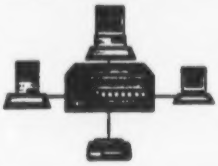
## WSS Administrative Hardware & Software Configurations

**Business Office:**



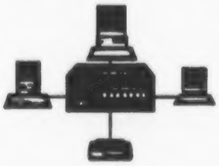
USAGE
- Budget tracking
- Purchase order printing
- Warehousing support
- Accounts payable

**Library Services:**



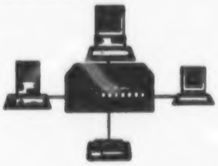
USAGE
- Cataloging
- Master inventory
- Purchase order prep
- Prints cards, labels & packing lists

**Personnel:**



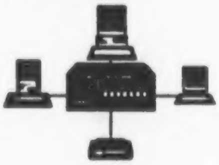
USAGE
- Applicant tracking
- Word processing
- Employee job assignment, salaries, certification, professional development, sick leave, comp time.

**Curriculum:**



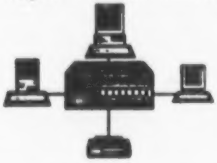
USAGE
- Chapter I tracking
- Special Ed tracking
- ESL tracking
- Word processing

**Vocational:**



USAGE
- Data bases for college, RIO & apprenticeship
- Word processing

**Regional Administrators:**



USAGE
- Word processing
- Applicant review

Each area is also provided the Lyrix software for the word processing needs of the staff. Staff learn how to use the "Lyrix" word processing software by either:

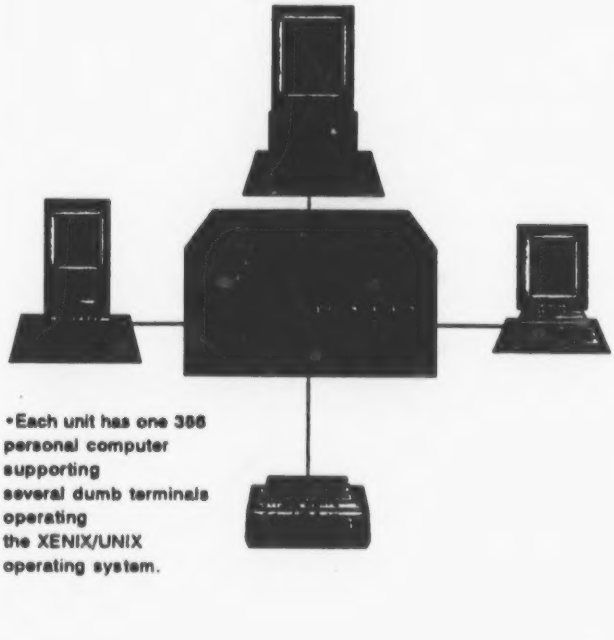
- self-instruction
- assistance from co-workers
- computer services-provided training

WSS Education Unit Automation: A stand-alone Inmate Education Information Management System (IEIMS) is provided to each WSS school site to access student demographic information. The student data regarding location and new test scores are transferred to each unit monthly via diskette. Test scores for that unit's students are sent to the unit in paper format from the Data Processing Department so staff can manually update their inmate tracking system. Conversely, student progress data and new test scores are transported manually using floppy diskettes from each site to the central Windham office. Attendance information is transferred via diskette from each unit to the central Windham office monthly. Exhibit 10-6 identifies the specific hardware used to support this function and the data available within the IEIMS.

EXHIBIT 10-6

## WSS Education Management Hardware & Software

Inmate Management:



- Each unit has one 386 personal computer supporting several dumb terminals operating the XENIX/UNIX operating system.

### Available IEIMS Data

**SETUP Data:**
- Unit contact
- Unit information

**CLASS Data:**
- Teacher
- Schedules
- Class participation
- Inmate schedules
- Roster

**ATTENDANCE Data:**
- WSS attendance
- College attendance
- Special education attendance

**INMATE Data:**
- Demographics
- Education status
- College plan
- Test scores
- Waiting list
- User defined fields
- Counselor-interview notes

WSS Instructional Computers. Each public school within the Windham School District is provided a networked computer educational lab consisting of 10-20 personal computers for computer-assisted instruction supported with Josten's INVEST software. The INVEST software is designed to be an integrated learning and management system able to effectively track and transfer student progress data. The hardware includes a 386 micro processor file server with a 300 meg. hard drive operating MS-DOS and Novell network operating systems. The individual work stations are small personal computers less hard drives. ESL, special education and adult basic education instruction are supported by varying software packages and stand-alone computers placed in certain classrooms to support special student needs. Additionally, certain vocational classes at the various sites are using computers with computer-assisted instruction software. The management information collected in these computers is not transferred to a central repository. The computers and software vary significantly in size, brand, type, software and operating system. The chart in exhibit 10-7 illustrates the instructional assistance hardware and software available at the Windham School System.

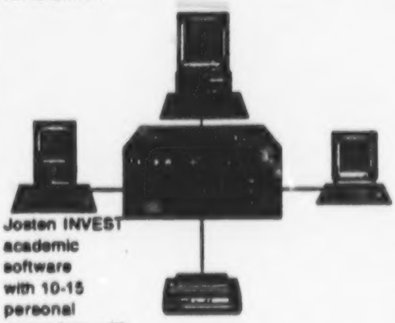
Private Education Unit Automation: Private prison sites are provided access to the TDCJ computer files through inquiry only and are provided a quarterly microfiche of all recent test scores. The Windham School District educational management information system is not shared with the private prison units. Each private unit must provide its own inmate tracking system or process along with any computer-assisted education tools.

The CCA units have dBASE inmate tracking system in place residing on a stand-alone personal computer within the secretary's office. Vocational computer instruction is conducted in a computer lab which consists of stand-alone computers loaded with WordPerfect, Lotus and dBASE. A few stand-alone computers are placed in classrooms to support adult basic education (ABE) training. Exhibit 10-8 identifies the CCA hardware and software approach.

EXHIBIT 10-7

## WSS Instructional Hardware & Software Configuration

**ACADEMIC:**



Josten INVEST academic software with 10-15 personal computers with no hard disks. (591 total)

- 255 stand-alone Apple IIe's, Tandy and IBM personal computers.
- Distributed between all units.
- Supports ESL, special education and ABE training.

### Available INVEST Data

STUDENT DATA:
- Name
- Id
- Gender
- Ethnicity
- Date of birth
- Security class
- Date enrolled
- Social security #
- Initial EA
- Date GED awarded
- Date terminated
- Test date
- Sub-test scores
- Total score
- I.Q.
- Incarceration date
- Tentative parole date

EDUCATIONAL:
- Basic writing
- Basic typing

EVALUATION DATA:
- Disabilities
- Free-world ed level
- Learning strengths

TESTING DATA:
- GED
- TABE

**VOCATIONAL:**

- 160 IBM compatible 286 personal computers spread-out between 20 units.

- 145 Macintosh computers spread-out over 20 units.

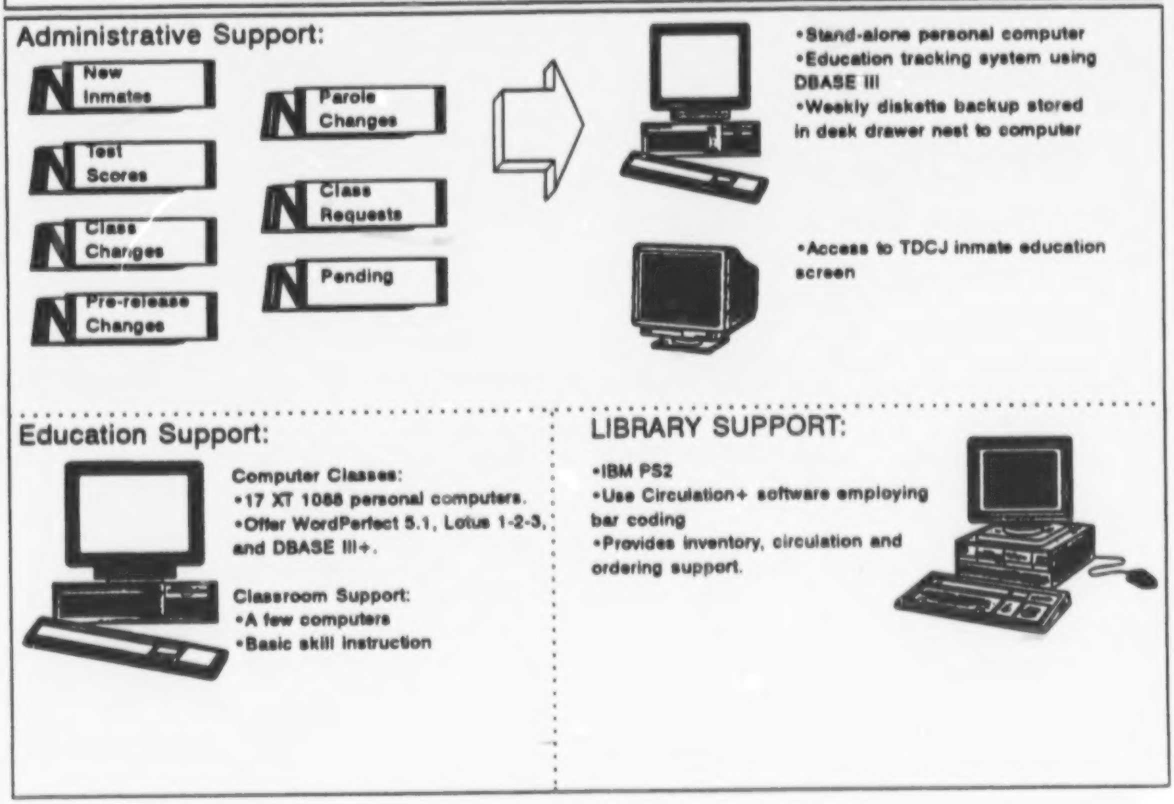
### Available Software

■OFFICE PRODUCTIVITY:
- Typing Tutor
- Microsoft Works
- Aldus PageMaker
- WriteNow
- Lyrix
- FilePro
- SCO Professional
- DBase III
- WordPerfect
- MVACC Intro to Micro Business
- Singer Company Office Training

■VOCATIONAL ASSISTANCE:
- VersaCad Drafting
- AES Automotive
- MacRegister (POS)
- CabinetWare
- McDraw
- McPaint
- SuperPaint
- Adobe Illustrator
- Hydraulics
- Pneumatics
- Electronics
- Thermal Systems
- Mechanics
- CAD/CAM
- Numeric Control

**EXHIBIT 10-8**

## CCA Hardware & Software Configuration



### Administrative Support:

New Inmates
Test Scores
Class Changes
Pre-release Changes
Parole Changes
Class Requests
Pending

- Stand-alone personal computer
- Education tracking system using DBASE III
- Weekly diskette backup stored in desk drawer nest to computer

- Access to TDCJ inmate education screen

### Education Support:

**Computer Classes:**
- 17 XT 1088 personal computers.
- Offer WordPerfect 5.1, Lotus 1-2-3, and DBASE III+.

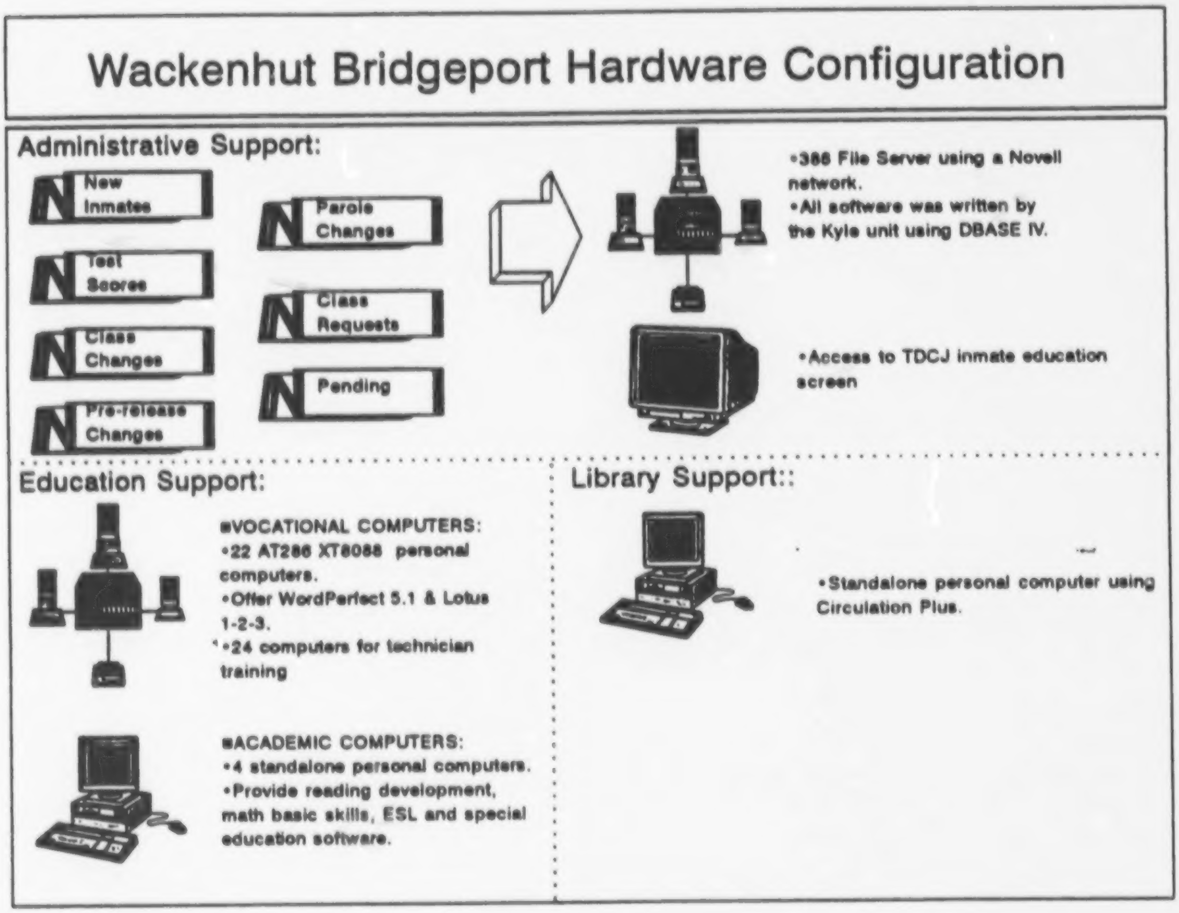
**Classroom Support:**
- A few computers
- Basic skill instruction

### LIBRARY SUPPORT:

- IBM PS2
- Use Circulation+ software employing bar coding
- Provides inventory, circulation and ordering support.

Wackenhut has an integrated inmate tracking system with education as a component supported by a Novell LAN accessible to every department in the prison. Wackenhut opted not to operate a computer lab instead placing personal computers in the classrooms and the housing areas. They are concentrating efforts on training their instructors in CAI with the understanding that the concurrent development of teacher-led instruction with CAI is not only beneficial but critical. Wackenhut uses the "New Century" computer-assisted instruction program as a diagnostic and integrated learning program. Exhibit 10-9 identifies the Wackenhut hardware and software approaches.

EXHIBIT 10-9



Wackenhut Bridgeport Hardware Configuration

Administrative Support:

- 386 File Server using a Novell network.
- All software was written by the Kyle unit using DBASE IV.
- Access to TDCJ inmate education screen

Education Support:

■VOCATIONAL COMPUTERS:
- 22 AT286 XT8088 personal computers.
- Offer WordPerfect 5.1 & Lotus 1-2-3.
- 24 computers for technician training

■ACADEMIC COMPUTERS:
- 4 standalone personal computers.
- Provide reading development, math basic skills, ESL and special education software.

Library Support::

- Standalone personal computer using Circulation Plus.

## 10.2 Findings

### 10.2.1 Exemplary Programs

- **Hardware Platform**. XENIX, a multi-user, multi-tasking microcomputer operating system is employed and allows multiple users to share a microcomputer system. Users can be added to the system on either microcomputers or dumb terminals allowing a less expensive solution to support the automation needs of Windham staff and management.
- **Hardware Trouble Monitoring System**. Windham MIS staff have developed a computerized system to monitor the progress on all outstanding hardware trouble reports.
- **CAI Access.** The Wackenhut Kyle facility has creatively expanded access to the computer-assisted instruction. The Wynne unit's educational management has recognized that 3 hours of computer-assisted instruction at one setting is too much and implemented two 1.5 hours sessions.
- **CAI Commitment.** The Windham School System management has done an outstanding job in dedicating the dollars to the beginning of a computer-assisted instruction program.
- **Wackenhut Units.** The CAI programs in the Wackenhut prisons were adequate and very accessible. Wackenhut opted not to have an academic laboratory but instead placed personal computers in the classrooms and in the housing areas. They trained and are training their instructors in CAI understanding that the complementary development of teacher-led instructions with CAI is critical. In addition to computer laboratories which were staffed and equipped in good working order, kiosks were cited in the housing units offering maximum access in several programs especially reading instruction. The kiosks were heavily used at all times of the day. Wackenhut uses the "New Century" program which is a diagnostic integrated learning program and is LAN based.

### 10.2.2 Opportunities for Improvement

1. Lack of Planning Process for MIS

No management information strategic planning process is used by management. Business needs are not linked with automation support and technology to establish strategies and directions for the future. The result is:

- No customer knowledge or identification impact in the design of educational delivery.
- The old adage "If you don't know where you're going, how do you know when you get there?" is a very appropriate descriptor for the current technology environment.

- A failure to link information technology and systems planning to Windham's overall strategic plan.

- Incompatible fragments of databases and information systems cause excessive costs and prevent management from obtaining needed information all of which result in a loss of productivity and effectiveness.

The following examples are provided to support the above statements:

- While a long-range information systems plan has been developed for submittal to the Texas Department of Information Resources, the planning was done with little involvement from end users and even less from top management causing a lack of integration of the business plan for the district and the technology to support that plan. Top management is not actively involved in the direction or development of information systems within WSS so that MIS planning activities are not closely tied to the strategy of overall education delivery and the TDCJ goals of reduced recidivism and rehabilitation. The lack leadership in planning results in everybody going off in their own direction.

- Windham is trying to increase the educational data housed on the TDCJ mainframe without involving critical players in the design effort. The result is no involvement from the data synthesis and analysis staff to ensure workable solutions. Monthly tape updates from Data Processing will continue to be run instead of electronic uploads on a daily basis. Units will continue submitting diskettes to Data Processing on a monthly basis.

- Systems do not fully serve the needs of the Windham School System. Several educational support activities are not automated causing teachers and counselors to spend manual time preparing or verifying report information. Specific examples are stated below:

    - Inmate appointments and interview scheduling are handled manually requiring more time than necessary by critical resources such as counselors and principals.

    - Each month the teacher must monitor and verify the Number of Accumulated Hours Report manually taking more valuable time away from teaching.

    - When an inmate leaves the unit, the teacher must manually prepare an Inmate Job Management System (IJMS) form. The form is forwarded via truck mail to central data processing costing 4 hours per month per counselor or 1,680 hours annually or 1 person's time.

    - While an English as a Second Language (ESL) report is automatically produced, a teacher must manually verify the hourly documentation on a monthly basis taking 2 hours more than needed. This totals to 840 hours annually. (2 hr. x 12 months x 35 units = 840 hr.)

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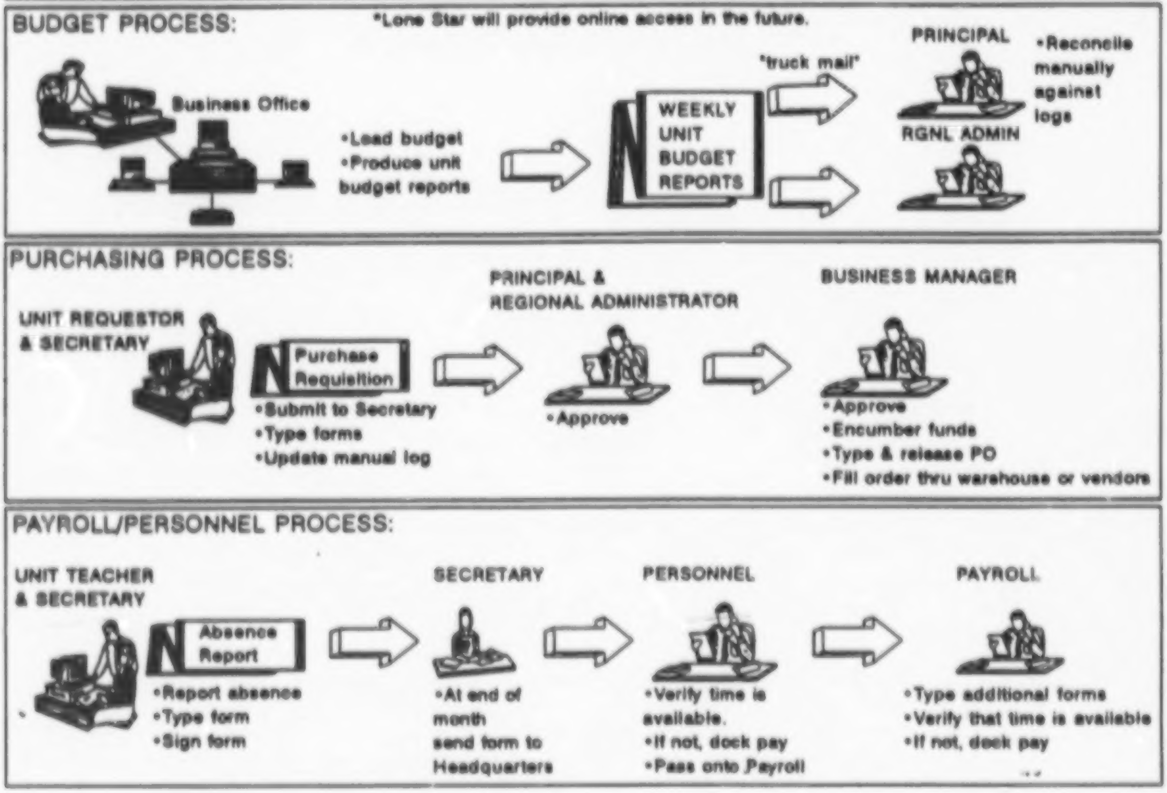
- Finally, the administrative functions performed by the support staff and the principal are not supported by on-line systems linked to the central office software as shown in exhibit 10-10. The resulting is that more time is consumed by paper work rather than educational activities.

**EXHIBIT 10-10**

Certain administrative functions are automated at Headquarters, but are manually updated from each unit resulting in excessive time & paper.

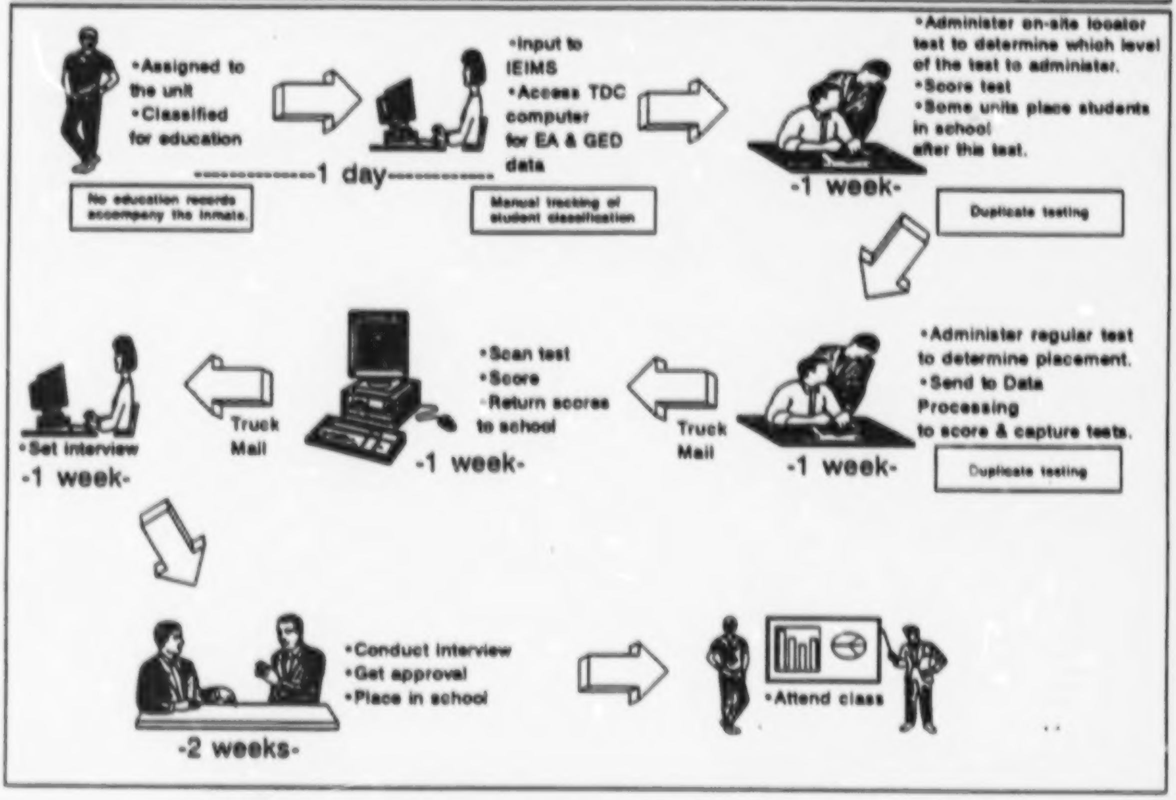

BUDGET PROCESS:
*Lone Star will provide online access in the future.
Business Office
•Load budget
•Produce unit budget reports
WEEKLY UNIT BUDGET REPORTS
"truck mail"
PRINCIPAL
•Reconcile manually against logs
RGNL ADMIN
PURCHASING PROCESS:
UNIT REQUESTOR & SECRETARY
Purchase Requisition
•Submit to Secretary
•Type forms
•Update manual log
PRINCIPAL & REGIONAL ADMINISTRATOR
•Approve
BUSINESS MANAGER
•Approve
•Encumber funds
•Type & release PO
•Fill order thru warehouse or vendors
PAYROLL/PERSONNEL PROCESS:
UNIT TEACHER & SECRETARY
Absence Report
•Report absence
•Type form
•Sign form
SECRETARY
•At end of month send form to Headquarters
PERSONNEL
•Verify time is available.
•If not, dock pay
•Pass onto Payroll
PAYROLL
•Type additional forms
•Verify that time is available
•If not, dock pay

- Multiple stand-alone data bases and support systems exist to support the administrative and educational support needs of the Windham School System's automation requirements. These duplicative databases and information systems result in limited shared data, increased data capture expense, increased data storage requirements, inconsistent data, hard-to-access data. All of this translates into excessive processing costs, time-consuming transfer of records, loss of valuable productivity, and prevention of senior management from obtaining the information it needs to track and monitor overall performance. Specifically:

  - Inmates are frequently moved from one location to another but their educational records are not transferred for up to several weeks. There is no current capability for electronic transfer of records. This lag in the record transfer causes the need for the private units to re-administer diagnostic educational tests to determine entry level and program components as an inmate enters their facility. The loss is that of resources of time and tools for the educators, but as importantly, time for the inmate who loses information and skill as slack time occurs during transfers. Exhibit 10-11 highlights where education time is lost.

EXHIBIT 10-11

From 6-10% of an inmate's 17-month average prison stay is spent enrolling in class losing valuable time & ADA funding.


•Assigned to the unit
•Classified for education
1 day
No education records accompany the inmate.
•Input to IEIMS
•Access TDC computer for EA & GED data
Manual tracking of student classification
•Administer on-site locator test to determine which level of the test to administer.
•Score test
•Some units place students in school after this test.
-1 week-
Duplicate testing
•Administer regular test to determine placement.
•Send to Data Processing to score & capture tests.
-1 week-
Duplicate testing
Truck Mail
•Scan test
•Score
•Return scores to school
-1 week-
Truck Mail
•Set interview
-1 week-
•Conduct interview
•Get approval
•Place in school
-2 weeks-
•Attend class

- Additionally, we conducted a sampling of some 200 inmate records at one education unit to determine whether education records had been transferred from the sending unit or from the Windham central office in a timely fashion. The results revealed that seventy-six (76) student inmate education records, or 38%, had not yet been received by the new unit. The outstanding records on one day ranged from 1 to 300 days (38%) with an average of 38 days. Even if the education records were received at this point, they would be of little use to the receiving unit. This is critical given that 4,000 transfers of some sort occur on a weekly basis. We had no way of quantifying how many of these transfers are unit transfers and affect student inmates.

- Student attendance data are entered initially by the teacher onto a form and submitted to the secretary who then re-enters it into to the computer system. While entering it into the computer system, the secretary enters an amount to which all individual entries must total before that particular sheet is accepted. On a monthly basis, the teacher with the secretary must re-verify using the automated report and the teacher's manual logs to ensure that the secretary entered the information correctly. If the secretary had not entered the information correctly, the batch would not have balanced with the totals provided by the teacher, thus making this procedure unnecessary.

- The Student Progress Record is the main working document within the Windham system. These paper-based documents (SPR Cards) are manually updated by staff when the student completes objectives. Upon inmate transfer, this card is truck-mailed to the receiving unit often too late to be of any benefit to the receiving staff.

  - While teachers rely on up-to-date test scores to appropriately place new students, the test scores are not updated in a timely fashion to all sites to be of much use during the placement process. Additionally, test score information updated to the TDCJ computer only lists the highest composite EA score achieved not the individual component scores or the last tests taken giving an incomplete snapshot of the student's progress. Once the tests are graded by Data Processing, they are returned via truck mail in manual format and must be keyed into the stand-alone IEIMS system on that unit doubling the effort.

- All software systems are built in-house rather than relying on off-the-shelf software solutions that could be customized and implemented in far less time, provide more functionality and be less costlier solutions. For example:

  - The library operations is in need of automation but Data Processing management is looking at "building" an in-house solution rather than purchasing one of many library management systems available on the market that supports bar card readers, OCR wands and are networked solutions to improve productivity.

  - Numerous UNIX-based software packages are available to support student information, attendance reporting, discipline reporting, test and achievement progress tracking/reporting, academic history, special education, and scheduling assistance but have not been thoroughly explored for applicability.

  - Software packages for budget, accounts payable, payroll, personnel, applicant tracking, purchasing, warehousing, fixed assets are readily available at costs and time frames far less than could be developed in-house. However, these have been and continue to be built in-house.

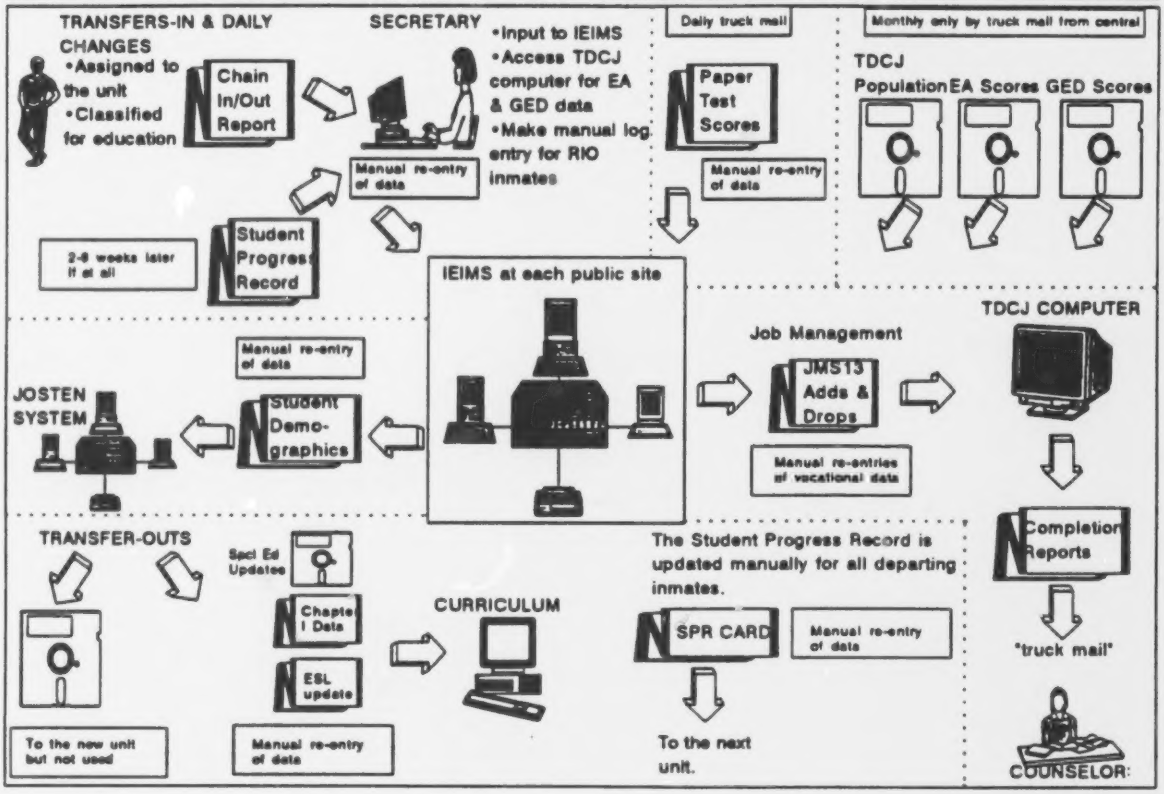
  - Staff lack access to the industry standard spreadsheet, graphics and word processing packages. For example, Lyrix, a non-standard word processing package, which is not as powerful as WordPerfect or Word, is used.

- No uploading or downloading of data occurs between the TDCJ computer and the Windham computers. For example:
  - All TDCJ changes affecting student inmates must be manually entered by staff into the inmate tracking system even though the data are electronically available on the TDCJ system. This results in nearly 33,000 hours of lost productivity annually. (140 changes per unit/day x 35 units x 205 days x 2 minutes per change / 60 minutes = 33,483 lost hours.)
  - EA and GED tests are transported via truck to the Data Processing and Records Department. The tests are electronically scored and captured. However, the results are returned in paper form to each unit to manually input into the inmate tracking system resulting in just over 2,500 hours of lost productivity annually. (78,238 tests annually x 2 minutes per input / 60 minutes = 2,608 hours lost.)
  - Computer lab instructors are required to manually enter all demographic and test data for inmates transferred into their facility even though this information has already been entered into the IEIMS. The result is that 18,000 hours of teacher productivity and instruction assistance are lost in this redundant process. (1,004,500 annual changes + 78,238 tests) x 1 minute per change / 60 minutes =18,045 hours lost.

- Transferred student inmates require extensive manual processing as detailed in exhibit 10-12 and the following examples:
  - When an inmate leaves the unit, the counselor must manually prepare an IJMS form and forward via truck mail to the central office costing 4 hours per month or per counselor or 1,500 hours annually or 1 person's time. Additionally, five (5) data entry points exist for the IJMS vocational data resulting in 59-81 characters being re-keyed for adds and 94-104 characters for drops resulting in significant redundancy and staff productivity loss. (4 extra data entries x 50,000 adds/drops per year x 85 extra re-keying characters = 17 million extra characters to re-key 300 characters per minute x 17 million characters / 60 minutes = 944 hours).
  - While an ESL report is automatically produced, a teacher must manually verify the hourly documentation on a monthly basis. This requires 2 hours of extra time resulting in 340 hours of each teacher's productivity involved in the process. (2 hours per month x 12 months x 35 units = 340 hours This assumes 1 teacher per unit)

EXHIBIT 10-12

Student data is "re-entered" as many as 5 times during the transfer process costing significant time.


TRANSFERS-IN & DAILY CHANGES
•Assigned to the unit
•Classified for education
Chain In/Out Report
SECRETARY
•Input to IEIMS
•Access TDCJ computer for EA & GED data
•Make manual log entry for RIO inmates
Manual re-entry of data
Student Progress Record
2-6 weeks later if at all
Daily truck mail
Paper Test Scores
Manual re-entry of data
Monthly only by truck mail from central
TDCJ
Population
EA Scores
GED Scores
IEIMS at each public site
Manual re-entry of data
JOSTEN SYSTEM
Student Demographics
Job Management
JMS13 Adds & Drops
Manual re-entries of vocational data
TDCJ COMPUTER
Completion Reports
"truck mail"
COUNSELOR:
TRANSFER-OUTS
To the new unit but not used
Spcl Ed Updates
Chapter I Data
ESL update
Manual re-entry of data
CURRICULUM
The Student Progress Record is updated manually for all departing inmates.
SPR CARD
Manual re-entry of data
To the next unit.

- Previously, a Josten diskette had been forwarded to the next unit on inmate transfer. Due to a serious programming problem, this practice was suspended several months ago until a programmer could resolve the problem. This resulted in no automated progress data being transferred to the next unit impeding effective student management and placement.

- At the time of transfer or release of Project RIO participants staff is required to conduct an inquiry on the TDCJ computer and manually prepare documents upon transfer resulting in more lost time. (19,000 RIO releasees per year x .25 minutes = 4,750 hours).

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Exhibit 10-13 summarizes the time lost through manual processes performed by teachers, administrators, and clerical staff.

EXHIBIT 10-13

Nearly 65,000 hours could be redirected from manual processing and re-entry of data to more mission-critical tasks.

| STAFF | LOST HOURS |
|---|---|
| Teachers | 20,905 |
| Administrative | 2,444 |
| Clerical | 40,842 |
| TOTAL HOURS | 64,191 |

## 2. Computer-Assisted Instruction

*Public Units*

Computer-assisted instructional (CAI) technology is under-utilized resulting in:

- no systems approach to CAI as an educational tool;
- very little evaluation of the impact of computer-assisted instruction;
- under-equipped hardware and software to support the educational needs;
- not identifying the opportunities of CAI to strengthen the vocational education delivery.

- The teacher is a critical component in computer-assisted instruction. Motivation that causes one to learn comes from the self-expectation. It also comes from significant people in your life -- such as your teacher. Teachers at the Windham School System have not received adequate training in the Josten Invest educational system. This reduces their effectiveness in assisting inmates in the self-paced program, but more importantly it removes the opportunity to use this program to supplement the instructor based educational programs. Furthermore, teachers do not coordinate and complement the computer lab with classroom instruction and coursework. Opportunities are missed by not reinforcing the subject matter in a variety of teaching technologies.

- The reality of the average length of time served dictates that many offenders will not have the time nor the motivation to complete instructional programs. Yet, there is not enough emphasis or planning placed on individualized programs based on diagnostic and prescriptive computer-assisted tools which address realistic goals which are self-paced and proven to be more effective.

- Students are eligible for computer lab once per week for 3 hours at each sitting. TEA recommends 5 hours per student per week as the standard for computer-assisted instruction. A time segment of 3 hours at one sitting is too long. It would be more effective to have the program offered more often for shorter periods of time. The inaccessibility of these learning systems coupled with the limited time in incarceration, make CAI a precious resource for the inmates. Wackenhut makes their basic literacy program available on kiosks in the living areas in order to expand the available time for learning. The attention span and concentration needed to maximize the impact of one-three hour session each week requires that the student use part of each session in review of previous learning accomplishments.

- The computer-assisted technologies are managed by the Curriculum and the Vocational Education departments with little planning assistance from the Data Processing Department. This results in multitude of hardware and software platforms with no plan to integrate the management and student information. No consistent hardware and software platform is being pursued resulting in the acquisition of non-parallel programs between the public and private sites, as well as the academic and vocational programs. There is no standard or requirement for common databases for computer-assisted programs, therefore, opportunities for interactive analysis, parallel reports and planning are denied. Additionally, no long-range plan is in place which will lead the educational program into the future. No strategic plans exist to:

  - update hardware and software;
  - integrate current and new teaching technologies;
  - introduce interactive video technologies;
  - link this system to schools or colleges to expand their curriculum base;
  - coordinate the wide array of equipment and programs;

  - evaluate the effectiveness of all equipment and software against goals and objectives.

  The general lack of a strategy or vision makes it impossible to develop long term solutions to problems currently identified.

- A major impediment to vocational educational progress for this population is the lack of continuity that these students face as they move from program to program. There is no transferability of student progress records from unit to unit for vocational educational programs.

  Consequently, equal emphasis is not given to basic skills curriculum components directed toward any applicable vocation. A major issue currently in the labor market is the inability of workers to acquire a proficiency in basic skills. Teaching obsolete skills to keep inmates busy, while on the inside, will do nothing but add to frustration on release when vocational achievements have not kept pace with the demands of the technologically driven market. There is a major vocational education opportunity which can be coupled with the needs of the labor markets to provide up-to-date computer-assisted instruction in essential skills to a population which is available for training.

### *Private Units*

- Private prison education opportunities for improvement include:

  - No interaction, transfer of student progress automated records, or reporting of progress takes place between the private prison educational units and the Windham School System resulting in additional fragmentation of data, re-testing of student inmates for placement decisions, and the inability to evaluate the educational progress of the unit.

    During the last contract renewal cycle, Windham management expressed a desire to provide the private prison educational units with the IEIMS software dependent upon their purchase of the supporting hardware. However, somewhere in the renegotiation this point was lost and nothing matured.

- The following are the improvement opportunities needed at the two CCA sites at Venus and Cleveland:

  - The vocational education computer classes in the CCA facilities are inadequate. Although there were several personal computers at each location, many were broken and pushed against the wall. There was little activity at the stand-alone personal computers within the classrooms and a noticeable lack of computer-assisted education throughout the facility.

- The Venus and Cleveland vocational education computer labs used to instruct students in WordPerfect 5.1, Lotus and dBASE are too noisy to concentrate on the subject material for it shares a large room with the cooking class.

- Additionally, the vocational classes do not utilize a self-paced instruction course to assist in teaching dBASE, Lotus, and WordPerfect. Instead, the teacher must maintain a daily log of each student's daily activity resulting in too little time spent with the students and more on paperwork.

- During our visit, it was noted that nearly half of the Cleveland's computers were not available due to breakage. The teacher and inmates noted that this was a continuous problem especially since many of the machines were 8088's which are almost obsolete resulting in parts being hard to obtain. Furthermore, no replacement policy was in place to address replacing aging or continually malfunctioning equipment to ensure adequate access to students and staff.

- Computer instructional manuals were limited at both CCA sites in both number and depth/breadth.

- Only one copy of the keyboard instructional program called "Typing Tutor" was available at the Cleveland site limiting the progress of students who did not know how to use the keyboard.

- The Venus unit teaches QBasic which is a non-traditional language not often found in the "free world" resulting in inmates being trained in something that is not transferable to the outside.

- Student achievement levels are tracked manually by the teacher, rather than through the use of a computer, resulting in more paperwork and less time teaching.

### 3. Disaster Recovery

Valuable Windham assets are placed at undue risk because no disaster plan is operational nor complete file retention and backup practices used.

- No disaster recovery plan is in place. An agency such as Windham should have in place a contingency plan describing the actions to be taken, the resources to be used and the procedures to be followed before, during and after an unlikely event occurs that renders inoperative the WSS data processing capability. No contingency plans have been developed to provide for the resumption of processing critical applications within a defined time interval and restoration of total processing and return to standard operating procedures. Contingency plans are critical because daily, information systems contribute to functions such as transaction processing, financial and regulatory reporting, telecommunications, payroll preparation and the complex decisions associated with managing WSS. In fact, WSS now maintains their most important records in machine-readable form. If an "unlikely" event should render this information system unavailable, WSS management would certainly be exposed to unnecessary or unexpected risks. "Unlikely" events may include a disgruntled employee or a devastating fire which damages data files or equipment and disrupts operations. Specifically, WSS has not documented the short- and long-term impact of a loss of data processing capability, has not done anything to reduce the loss potential, nor documented a contingency plan that provides for complete recovery.

- An adequate level of security to maintain processing hardware and software is not provided in the form of off-premise backup facilities and physical security/access control.
    - More and more Windham data are being placed on hard disks and diskettes. These computers are operated by people who are not MIS professionals. As a result, the files have a greater chance of being lost or damaged through operator errors. Proper file backup is the best way to reduce the risk. However, proper file backups were not witnessed at the majority of units visited. For instance, one site performs a daily backup of its student inmate tracking data but stores the diskette in the same desk on which the computer resides potentially risking the loss of data by theft, fire, flood or any natural disaster. If the computer files were lost, all inmate education records would have to be recreated from scratch resulting in a time-consuming process. Most likely, much of the student inmate progress data would never be recaptured.
    - The central site backs up critical data weekly and stores the tapes in the adjacent building. While it is good that the backup data are stored off-site, the likelihood of a fire or tornado hitting one building and not the other is remote leaving critical data at risk.
    - All programming staff have access to all data and programs increasing the potential for unauthorized access or alteration.

### 4. Automation Tools and Technologies

Proven automation and management tools and techniques are not utilized by the Data Processing Department to effectively manage technology. There are certain processes that are proven, very available and accepted as standards within Information Technology and not to have these in place is a disadvantage to the Windham School System. The following were the improvement opportunities recognized in this area:

- The Data Processing Department's software development staff does not employ tools which: generate easy-to-read diagrams; use structured methodologies; link diagrams with code generators and fourth-generation languages (4GL); use prototypes; and prepare easy-to-use user and technical documentation. Furthermore,

- Windham is not utilizing systems development methodologies, project control systems, project estimating tools, test data generators, debugging aids or application generators. Consequently, without these tools, it is taking Windham longer to develop application software and is making changes harder, costlier and longer to make.

- The existing database manager, FilePro, lacks documentation & flowcharting support, a 4GL language, graphical input support and a relational design resulting in more effort required by the programming staff to make changes and prepare manual documentation.

- Data Processing lacks a data administrative function to determine the information needs of WSS:

  * to create and maintain data models;
  * to obtain agreement among users about definitions and format of data items;
  * to ensure that system builders conform to the data models as much as possible;
  * to resolve conflicts about incompatible representations of data.

  As the data requirements of the WSS increase, this function becomes more important to provide and maintain consistent and accurate data.

- User documentation is not developed as a byproduct of building a new system. For example, the user documentation was developed six months after the implementation of the Inmate Education Information Management System. The documentation produced under these circumstances is incomplete, unclear and very technically-oriented. User documentation is most critical during the conversion process to assist with staff training and for new staff additions.

■ The Windham Data Processing and Records Department does not utilize efficient and effective administrative practices regarding:

- A formal project request, evaluation, prioritization process is not in place. The requests for programming assistance the Data Processing Department receives usually require significant work hours to achieve the expected results. The requests are not formally standardized and most are submitted with minimal thought to prioritization and/or cost-benefit justification. Additionally, personnel assignment often happens by assigning tasks to any one of the programmers at that time rather than basing the assignment on management priorities. (It is noted that the Data Processing Department stopped accepting requests earlier this year because they did not have the staff to satisfy the needs. Consequently, this has resulted in a tremendous "hidden" backlog of requests which cannot possibly be handled within the desired time frames using the existing staff of three programmers.)

- Time accounting is not being captured resulting in a lack of critical management information to identify when applications need to be replaced, when staff need to be counseled and determining how long programming tasks take to complete.

- Facilities within the Data Processing are less than adequate. All staff are "stuffed" into an open room separated by a multitude of tables and wires. This environment is not conducive to developing and enhancing software.

- While standards and procedures were found, they have been in draft status since 1/15/92 and do not address anything beyond microcomputer design and coding.

- No tracking or monitoring of audit report exceptions is done to ensure timely resolutions. For example, the Data Processing Director had never seen the findings noted in the TEA Andersen Consulting Report dated June, 1990 until they were discussed with him during our review. They included:

  *..Obtain assistance from data processing experts for development of a long-range information systems plan, fully coordinated with the TDCJ systems plan.*

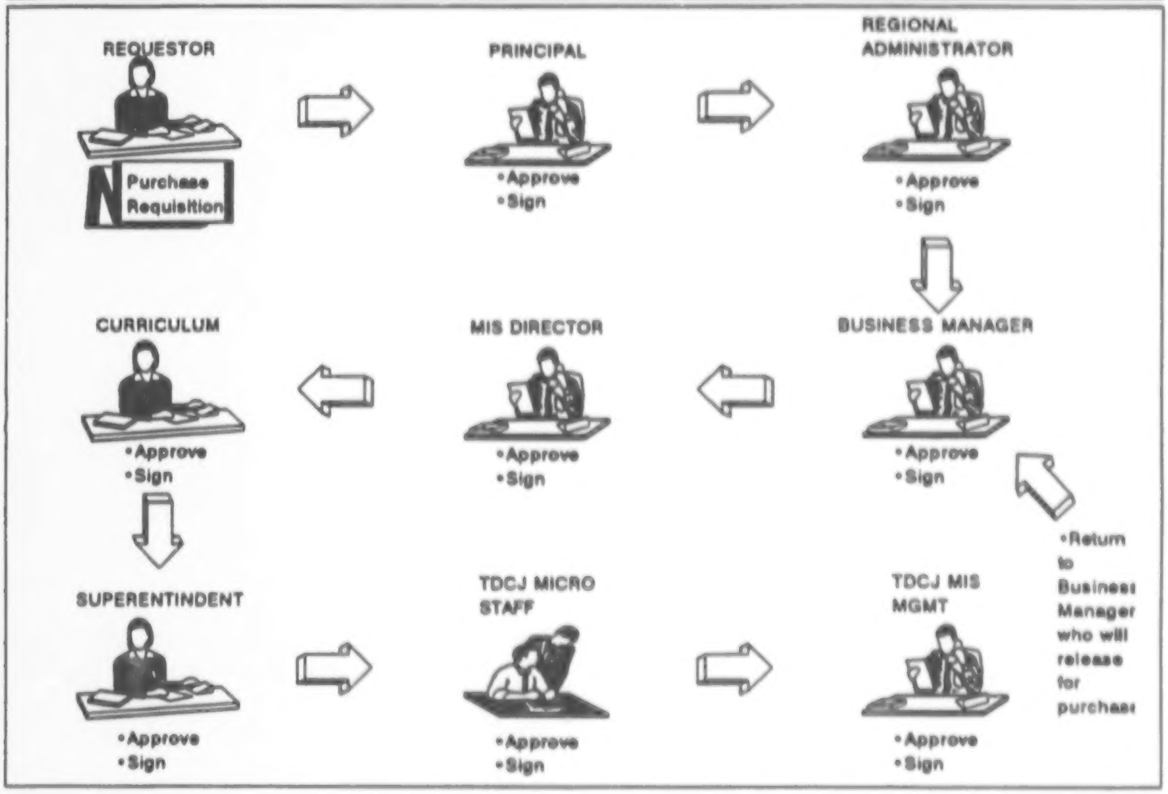
  *..Develop a system to link Windham student data with post-release data from the Board of Pardons and Paroles Division for effective evaluation of Windham programs. Also investigate the possibility of using data from the Quarterly Employment Tracking System (QETS), proposed to be implemented by the State Occupational Information Coordinating Committee (SOICC) at the Texas Employment Commission.*

- The total dollar amount spent on computer hardware and software annually is not readily known or available. Hardware and software to support individual department needs are requested and budgeted by the requesting department but not included with the Data Processing Department's budget. Consequently, it is not known how much is being spent on technology, or whether enough is being spent or too much is being directed toward it.

- All MIS purchases are routed to TDCJ for approval no matter the cost of the item resulting in additional layer of unneeded approvals and wasted time and effort. This process is depicted in exhibit 10-14.

**EXHIBIT 10-14**

MIS purchases require too many approvals resulting in a very slow procurement process.


REQUESTOR
Purchase Requisition
PRINCIPAL
•Approve
•Sign
REGIONAL ADMINISTRATOR
•Approve
•Sign
CURRICULUM
•Approve
•Sign
MIS DIRECTOR
•Approve
•Sign
BUSINESS MANAGER
•Approve
•Sign
•Return to Business Manager who will release for purchase
SUPERENTINDENT
•Approve
•Sign
TDCJ MICRO STAFF
•Approve
•Sign
TDCJ MIS MGMT
•Approve
•Sign

- Windham lacks a hardware replacement policy to resolve the issue of aging equipment and a capacity management program to ensure that existing hardware performs to expectations. For example:
  - No equipment replacement policy is in place to assist staff and management in budgeting for obsolete or costly to repair equipment potentially impacting the effectiveness of daily operations.
  - Furthermore, the current hardware maintenance tracking system does not contain the age of each piece of equipment nor the cost of each repair thus, not providing the necessary information to management to determine when to replace a piece of equipment.

- Three hardware maintenance contracts exist -- one for the Josten computer labs provided by TRW, the second for all other Windham equipment provided by Idea ServCom, and a third provided by TDCJ for their unit hardware. The practice of three contracts could be costing the TDCJ and the Windham School System more than necessary to provide quality service. Specifically,
  - The hardware maintenance contract specifies that vendors are to provide on-site service and diagnosis within one (1) workday from the time of the service call. However, we found that the average service call took six (6) days to resolve the hardware problem. This practice significantly impacts staff and student productivity and violates the contract.
  - Additionally, a survey of computer lab teachers indicated that service provided by TRW- Dallas was far less than satisfactory. Specific problems stated and documented which resulted in weeks of lost time for certain computer labs include:
    * used replacement parts and equipment were used while the contract called for new equipment and parts;
    * very slow response time in returning phone calls or conducting the on-site visit;
    * TRW representatives did not return phone calls nor show up for certain appointments;
    * Excessive busy signals experienced on 1-800 trouble reporting line;
    * Wrong parts sent and limited parts in inventory to supply the needed parts when necessary.
  - While the hardware maintenance calls are recorded into a database for future access, no systematic management analysis or reporting is produced to identify:
    * vendor response and resolution performance
    * device dependability
    * adequacy of unit support
    * hardware trouble spots
    * recalls for the same type of problem
    * contract violations
    * replacement identification

- Software problems are not tracked and monitored leaving management with little support in analyzing programmer effectiveness, software replacement or major enhancement planning resulting in systems being left in place much longer than their normal useful life and staff not knowing whether they are adequately testing changes before implementation. This is important because as systems age, operational and maintenance costs rise, they become more difficult to maintain, costlier to enhance, and almost impossible to integrate.

- Certain record keeping practices are inefficient and include:

  - The records department which handles the standards and procedures for inmate testing is misplaced with the Data Processing Department diverting some of management's attention to non-technology issues.

  - Microfilming is accomplished using a hand-fed filmer requiring at least one additional person manually feeding documents into the filmer, then manually entering index information into a personal computer system.

## 10.3 *Recommendations*

### *10.3.1 Information Strategic Plan*

1. Develop an information strategic plan for the Windham School System. Create an information strategic plan by linking technology planning to Windham's business planning. The plan should answer the following questions:

   - What business are we in?

   - What problems do we have at Windham?

   - What are our critical success factors?

   - What are our strategies?

   - How can we improve information technology to improve our functions and achieve success in strategies and critical success factors?

   - How can we apply information technology to change our strategy?

   - How can we organize Windham (and data processing) to most effectively achieve our goals, business strategy and plans?

   - How can we adopt an action plan to obtain the answers to the first six questions above?

Four levels of activity will be required during this planning process that involve Windham's data, activities and technology, including:

- **Strategy**: Top management must work together with data processing management to formulate an overall strategic vision that relates to future technology and its effect on Windham, its and services, goals, and objectives.
- **Analysis**: Logical models must be built to describe the fundamental data that are needed to operate the Windham School System, the activities that use the data, the technology that will be employed to store, maintain, and manipulate the data. This level is concerned with the actions needed but not in the detail of how it will be accomplished. At this level, a migration plan will be developed showing how Windham will evolve from earlier unstructured applications to the well-engineered and integrated systems of the future.
- **Design**: The third level relates to the detailed design of data, the data processing systems that interact with the data and the hardware and software that will be employed. This level is concerned with how the work is accomplished and describes the procedures in the user's terms.
- **Construction**: The fourth level includes those activities that relate to the construction or the purchase of physical databases and the application programs that access them using the chosen hardware and software tools. This layer is concerned with the files, data base management systems, program structures, technical design and the general implementation details.

The potential benefits of information strategy planning to Windham are presented in exhibit 10-15.

2. Implement immediate short-term solutions if needed. The information strategy planning study almost always reveals certain system needs that should be filled immediately without waiting for more in-depth analysis. These are often critical decision-support systems and executive information systems. A quick-and-crude version of such systems may be implemented quickly using spreadsheet tools, decision-support software, or executive information system software. While there may be a business need to implement certain systems immediately, and this should be done, it should be stressed that the whole point of strategic information planning is to build an information systems architecture for the entire Windham School System. This architecture will enable systems to be created, changed, and inter-linked more rapidly when it exists. There will always be some conflict between long-range architectural planning and immediate results.

EXHIBIT 10-15

# Information Strategic Planning Benefits

- TO THE SUPERTINDENT:
    - An assessment of the opportunities from new technology.
    - Adaptation of the strategic business plan for Windham to accomdate five-year technology trends.
    - As assessment of the factors most critical for success.
    - Translation of the critical success factors into actions in building information systems, decision-support systems and manager motivations and control mechanisms.
    - A defined logical approach to aid in solving management control problems.
    - An evaluation of future information system needs based on business-related impacts and priorities.
    - A planned approach that will allow an early return on Windham's information systems investment.
    - Information systems that are relatively independent of Windham's organization structure.

- TO FUNCTIONAL AND OPERATIONAL WINDHAM MANAGEMENT:
    - An assessment of goals and problems and identification of computing facilities that can help with these.
    - An assessment of the factors most critical for success.
    - Translation of these factors into actions in building appropriate systems.
    - A defined logical apporach to solving management control and operational control problems.
    - Top management involvement in establishing organizational goals and direction.
    - Increased probability of having the most valuable systems built.
    - Consistent data to be used and shared by all users.
    - Systems that are management- and user-oriented rather than data processing oriented.

- TO DATA PROCESSING AND RECORDS DEPARTMENT MANAGEMENT:
    - Effective communication with top management.
    - Top management support and interest in systems.
    - Better planning of systems that respond to business needs.
    - A long-range planning base for data processing resources and funding.
    - Agreed-on system priorities.
    - Higher productivity of delivering systems that are really useful.

3. Conduct the follow-up plan. At the conclusion of the information strategy planning study, individual areas of Windham are identified for in-depth analysis studies. The first study should be one where the payoff is high and one without excessive technical and political complexities.

4. Implement all the information needs that the information strategy planning study identifies. This process will take years, therefore, it is necessary to decide what to do first and, in general, prioritize the stages of implementation. It is desirable that the components of the architecture that are implemented first, should be those that solve immediate problems and have a rapid payoff.

### *10.3.2 Computer-Assisted Instruction*

1. Train teachers in computer-assisted instruction and require lesson plans to contain both education and computer-assisted objectives. Teachers should be taught educational foundations and learning objectives which structure the Josten instructional program and other CAI programs. Once these are acquired, the classroom instruction should require the student to complete complementary CAI programs which will underscore and strengthen the classroom instruction by the self-directed aspects of the CAI. The instructors should be required to incorporate CAI components in each of their lesson plans and review the progress of their students in the CAI system.

2. Expand the access and schedule for CAI. Access to CAI is now limited to 1 session per week for 3 hours. The CAI availability needs to be expanded both in terms of the number of times per week that a student has access and the hours available need to be more flexible. The schedule is being driven by access to the computer labs. More available sites for the CAI equipment need to be located so that access can expand. Consider moving away from the computer lab as the delivery source for CAI and consider moving accessibility to the classrooms and the living units thereby immediately expanding the number of hours available for the inmate on the equipment.

3. Seek the council of key business, education and government leaders to develop a vocational education program which will parallel with the labor market needs of business industry and government. Education programs are isolated by site, and are fragmented and scattered through the system. Because the focus is attendance rather than education or skill attainment, there is little attention paid to the opportunities CAI presents in the acquisition of vocationally driven skills. The CAI vocational education programs need to be tied closely with the knowledge and skill needs of business and industry, the opportunities for skill application presented in the Industries Division programs, and the educational goals of WSS (see related recommendation in chapter 6).

4. Hold private prisons to the same CAI standards as WSS. Establish comparable CAI standards for the private prison educational units which should be specified in the contract. Periodically monitor the standards to ensure consistency and continuity in the computer-assisted instruction delivery mechanisms.

### *10.3.3 Asset Protection*

1. Develop a workable disaster recovery plan. Develop a contingency plan which describes the actions to be taken, the resources to be used and the procedures to be followed before, during and after an unlikely event occurs that renders Windham's data processing capabilities inoperative. To be effective, the plan must be clearly stated and thorough so that critical operations can resume as rapidly as possible after a disruptive event.

2. Develop a state-wide file retention and backup plan. Analyze file retention and backup needs statewide and develop a plan of action. Additionally, store away from the Windham campus a duplicate copy of critical files. The following factors should be considered when selecting an off-site storage location:

   - **Availability**: Backup files should be available 24 hours a day.

   - **Access**: File access should be limited to a few employees. Individuals outside Windham should not have file access.

   - **Physical Security**: Fire safeguards that will not damage the files should be installed. The storage facility should be located and built to minimize damage from disasters. On and off-site facilities should not be vulnerable to the same disaster.

   - **Environmental controls**: The proper temperature and humidity should be maintained continuously, including weekends and holidays.

   - **Storage requirement flexibility**: The facility should be able to meet Windham's current and future storage needs. Management must determine whether increased storage requirements will require the use of different locations.

   - **Cost**: Cost should be considered only after all other requirements have been satisfied. Compared with reconstruction of files, any form of off-site storage is a less expensive alternative.

3. Improve security. Improve data and program access security by restricting programmer access only to those data files and programs which they are held accountable.

### *10.3.4 Data Processing Administrative Processes*

1. Select and purchase the appropriate structured techniques, system design methodologies, project management software, prototyping tools, fourth-generation languages and data base structure to improve data processing productivity.

   Consider planning tools to help Windham staff to support the development of data models and strategic data plans. These tools provide matrix analyses and allow the tracing of relationships between Windham units and processes, processes and data, and applications and processes. Secondly, analysis and design tools should be considered to support the analysis and design phases of the systems life cycle and offer graphics support and a dictionary for analyzing various structured techniques. Two types of tools are available in this area: (1) processing modeling tools analyze the functions a system performs, its input and output, and the relationships between functions. (2) data modeling tools represent the underlying structure of data, together with the relationships of the data. Data modeling tools usually provide both a logical data model and the translation of the data model into some physical structure. Finally, code-level tools generate structured code for new applications from specifications should be evaluated and considered for use by the Data Processing staff.

   When these tools are utilized properly, the system has a greater probability that it will meet user requirements, and is easier to maintain and improve.

2. Improve administrative practices.

   - Establish a Data Processing Steering Committee composed of senior management, data processing management and user representative to undertake an immediate review of the programming backlog of user requests to determine which items are no longer needed or which are of sufficiently low priority or impact to no longer warrant the allocation of resources. The first step should be to ask the requesters to recertify whether the request is still necessary, including a cost-benefit justification. The recertified items should be presented to the steering committee for review and prioritization. Data Processing management should then prepare and implementation plan and timeline for addressing the backlog.

   - Select and implement a time accounting software and practices whereby programmers and support staff record their time spent according to categories. An inexpensive package can be purchased and installed very quickly to record, track, monitor and analyze where time is spent within the Data Processing Department.

   - Either expand the current Data Processing facilities or rearrange for a better working environment.

- Implement and enforce the draft standards and procedures.
- Track, monitor and resolve agreed-on data processing audit exceptions noted during internal or external audits of the Windham School District in a timely and responsive fashion.
- Include all technology-related expenditures in the Data Processing Department's budget request to focus on how much money is being spent on technology or whether enough or too much is being spent on technology.
- Work with TDCJ to streamline the data processing procurement process to eliminate any unnecessary approvals and steps.

3. Make needed organizational changes to address data administration needs and to more strategically place the records function within Windham.

   - Relocate the records section staff and responsibilities, now residing in the Data Processing department, to the Curriculum Department to more closely align the responsibilities.
   - Establish a data administration function with the Data Processing & Records Department reporting to the Director. Data are a district-wide resource. As such, it requires, to be well, and centrally managed. When an information system includes free-standing data resource containing all data about Windham, it cannot be haphazardly managed by users and others; provision must be made for a new, centrally administered function. Moreover, since each user of data may have different logical relationships and in different contexts, there must be an overriding authority. This will help to ensure validity and consistency in data use, standardization of data names and descriptions, protection from the inadvertent destruction or distortion of data, confidentiality and controlled access to data, and adherence to both regulatory and internal rules of privacy. A data administrator will:
     - determine the information needs of Windham;
     - create and maintain the data models, insuring that they are as stable as possible
     - obtain agreement among users about the definitions and format of data items
     - ensure that system builders conform to the data models as far as possible
     - resolve conflicts about incompatible representations of data

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4. Improve hardware and software problem management practices.

   - Develop and implement a policy to address aging and high-maintenance equipment replacement practices.

   - Add the following to the hardware tracking software package to assist in managing hardware and software replacement processes:

     - date of purchase

     - cost of each repair

     - monthly reporting which highlights vendor elapse times, device dependability, recalls, trouble identification and replacement identifications.

     - software trouble calls by application, by program, by programmer

   - In order to reduce telephone support required by users, write user documentation as an ongoing part of the system development project realizing greater user involvement, fewer changes, a shorter development cycle, and reduced costs. The following should be followed when producing user documentation:

     - assign responsibility for writing the documentation

     - identify the audience

     - define the objectives and content of the documentation

     - oversee the writing of the documentation

     - test and evaluate the documentation

     - maintain the documentation after it has been published.

5. Evaluate the cost-effectiveness of replacing the existing microfilming equipment with an automatic feeder to improve efficiency and reducing the support staff accordingly.

Sections 10.4 and 10.5 which follow briefly provide information on the financial impact and implementation strategies for the recommendations in this chapter. Appendix F contains the complete implementation tasks and costs for Chapter 10 recommendations.

## 10.4 Financial Impact

- The creation of an information strategic plan will cost $90 - $125,000. The implementation of actions prescribed in the plan will redirect staff hours to more mission critical tasks.
- The expansion of the computer lab as the primary delivery system will cost $3 - $3.9 million.
- The cost of a filmer will be $30 - $50,000.
- A data administrator can be hired for $40,000 - $50,000 with benefits.
- New software for time accounting will cost $500 - $1,000.
- Improvements in data processing facilities will cost about $1,000.

## 10.5 Implementation Strategies

- Create an information strategic plan linking technology planning to Windham's business planning.
  - Conduct a two to four-day linkage analysis planning session with top management and data processing management. Formulate the strategic business vision that will guide WSS in establishing a clear vision for the future. This vision then provides an overall framework within which the remaining steps of the information strategy planning process can operate.
  - Create an overview entity-relationship model of WSS. This methodology maps the business functions hierarchically. It associates functions with organizational units, locations, and entities and documents the relationships between the entities that are identified.
  - Perform technology impact analysis to survey technological trends and determine how they can be used to run WSS better and to provide opportunities. This attempts to identify and prioritize the opportunities and bring them to the attention of management who can take appropriate action.
  - Perform critical success factor analysis to determine what are those areas most critical for success in running WSS. This methodology is concerned with identifying those areas where "things must go right" if WSS is to succeed fully. It is concerned with concentrating resources on the few most critical areas. It identifies critical assumptions which need checking, critical information needs, and critical decisions for which decision support systems are needed.

  - Perform goal and problem analysis. This methodology creates a structured representation of the goals and problems of WSS and associates them with departments. Goals and problems are then associated with information needs and information systems.

  - Refine the entity relationship diagram based on results of the previous steps and the entities associated with business functions and place into a matrix. This matrix is then clustered to find naturally cohesive groups of entities and functions. Then these form the basis of the individual business areas. These business areas then become the focus of later business area analysis studies.

- Train teachers in CAI and require lesson plans to contain both education-led and computer-assisted objectives.

  - Contract with Josten's to train teachers in learning objectives and opportunities to strengthen classroom instruction.
  - Require all curriculum designs show linkage to CAI.

- Move away from the computer lab as the primary delivery system of CAI by expanding the computer CAI locations (housing and classrooms).

  - Meet with Josten's professionals to determine how to make the CAI more accessible to student inmates.
  - Prepare cost estimates.
  - Make budget requests.
  - Implement.

- Incorporate the process of tracking CAI educational achievement goals into the operational and technology planning processes by identifying the critical success factors and developing the appropriate tracking and reporting system.

  - Incorporate into the strategic and technology planning processes.
  - Identify and document the appropriate critical success factors.
  - Develop tracking and reporting requirements.
  - Implement.

- Hold private prison educational units by the same standards as WSS.

  - Establish reasonable CAI standards, procedures and expectations including software/hardware platforms, student progress recordkeeping and results.
  - Renegotiate the contracts.
  - Monitor the standards.

- Include inconsistency of hardware and software platforms in the overall operational and technology planning process.

  - Include in the overall Windham business planning process.
  - Include in the technology planning process.

- Establish a short-term project team of key business, vocational education, and government leaders to give insight into the development of an effective vocational program that parallels with the labor market needs of business and government.
  - Determine the deliverables.
  - Identify the participants.
  - Conduct meetings.
  - Deliver final report.
  - Implement pilot projects and monitor the results.
  - Agree on the deliverables.

- Develop a disaster recovery plan.
  - Define relevant exposures to "unlikely" events and associated business risks.
  - Prepare supportive rationale statements for each exposure.
  - Structure a cost-effective contingency concept that would provide coverage for defined exposures.
  - Project benefits to be achieved.
  - Estimate time and resources required to complete the later development phases.
  - Conduct an analysis to determine those business functions that are critical, necessary, or desirable.
  - Review alternatives to support the contingency and judge the economic and technical requirements. Evaluate the approaches to determine whether WSS has the ability to implement and maintain the plan. Fully document the alternative chosen and prepare an implementation plan.
  - Define and develop the procedures, methods, facilities, equipment, personnel, programs, and services required for implementing the alternative selected. Prepare test plans. Conduct pilot tests and implement.

- Develop effective file retention and backup processes
  - Determine areas of exposure to file destruction.
  - Determine the government record retention requirements.
  - Compare record retention standards with exposure and requirements.
  - Identify and evaluate unit recovery problems and their solutions.
  - Inspect and evaluate off-site storage facilities.
  - Determine special file access restrictions.
  - Evaluate the usability of backup files.
  - Prepare recommendations.
  - Implement recommendations.

- Restrict programmer access for security.
  - Determine who needs access to which applications and restrict access of others.

- Select and purchase the appropriate tools.
  - Establish a district-wide definition of CASE.
  - Assess the current development environment.
  - Become familiar with the CASE market.
  - Determine which phases of the systems development life cycle should be automated.
  - Develop a set of matrices.
  - Use the matrices to produce a final requirements document.
  - Define a pilot project.
  - Present the final requirements document to a set of vendors.
  - Control vendor presentation.
  - Limit the number of vendors.
  - Have vendors develop a prototype of the pilot.
  - Select one vendor and rent the package.
  - Produce the pilot project.
  - Evaluate the tools performance.
  - Make a final selection.
  - Measure the quality of the new environment.

- Establish a data administration function within Data Processing Department.
  - Re-examine the need for records to reside within the Data Processing Department.
  - Determine if the function is better aligned with curriculum, and if so, make an orderly transition.

- Assess the cost-effectiveness of purchasing a new automatic, auto-indexing filming operation.
  - Itemize the processing steps and time required to currently microfilm and index documents.
  - Document the transaction volume requirements.
  - Give the major vendors this information and ask for a demonstration.
  - Document the processing steps and time required for the new equipment.
  - Compare to the existing process and note the differences.
  - Prepare costs benefits analysis. If significant improvements and staff positions and other costs can be saved, develop RFP for new equipment.

- Establish a data administrator who is authorized by top management to maintain the quality of the data bases and decide who gets access to them
  - Write the job description.
  - Secure funding.
  - Develop interview evaluation criteria.
  - Post the position.

  - Interview and hire.
  - Develop a plan of action.
  - Present to management for approval.
  - Execute the plan.

- Establish executive steering committee to set priorities.
  - Select participants.
  - Establish meeting frequency.
  - Ask requestors to resubmit requests with cost-benefit analysis.
  - The data processing department estimates level of effort required to make changes.
  - Review the programming backlog.
  - Determine which requests are warranted.
  - Review and prioritize requests.
  - The data processing department develops an implementation plan and timeline for addressing the backlog.

- Implement time accounting for staff timekeeping.
  - Determine requirements.
  - Select a PC-based software package.
  - Modify, install, test and document user procedures.
  - Request regular reports and monitor the results.

- Improve data processing facilities.
  - Determine if additional or a larger space is available for data processing department.
  - If so, make construction changes to accommodate staff and equipment.
  - Otherwise, make changes to the existing room to better accommodate staff and hardware.

- Implement more complete standards and procedures.

- Track and resolve audit exceptions.
  - As final reports are submitted to WSS, have data processing management review for findings which relate to technology.
  - Hold data processing accountable for the timely resolutions to these findings

- Streamline the procurement process.
  - Meet with internal employees.
  - Determine who should sign-off.
  - Meet with TDCJ officials.

  - Determine if the process can be streamlined.
  - Make recommendations.
  - Implement new process.

- Develop a hardware replacement policy.

  - Develop criteria to determine when a piece of equipment should be replaced.
  - Write a policy.
  - Monitor the hardware maintenance tracking system for the criteria.
  - Generate an accurate report listing equipment qualifying for replacement.
  - Include in the annual budget request.

- Improve the tracking system.

  - Add software tracking functionality.
  - Add hardware data of purchase and cost of each repair fields.
  - Prepare monthly reports highlighting vendor, programmer, and application system performance.
  - Monitor and make adjustments as needed.

- Write user documentation during design.

  - Involve users in the project team.
  - Assign responsibility for writing documentation.
  - Standardize the design.
  - Define the objectives and content of the documentation.
  - Oversee the writing of the documentation.
  - Test and evaluate the documentation.
  - Maintain the documentation after it has been published.

# 11.0 FINDINGS AND RECOMMENDATIONS RELATED TO ADMINISTRATIVE AND OPERATIONAL SERVICES

# *11.0 FINDINGS AND RECOMMENDATIONS RELATED TO ADMINISTRATIVE AND OPERATIONAL SERVICES*

## *11.1 Introduction*

This chapter presents a description of the current conditions and our findings and recommendations pertaining to the physical condition, management and operation of Windham units. The analysis is based on statewide information and data obtained from WSS and TDCJ, and on the results of our team's on-site inspection of 24 units.

The chapter includes an assessment of the following components:

- Facility Operations
- Space Management and Utilization
- Construction and Expansion Planning
- Custodial Maintenance & Energy
- Assets Inventory & Management
- Purchasing
- Warehousing
- Safety & Security

## *11.2 Facility Operations*

The section includes a review of the general management and operation of the prisons in which educational programs are maintained and addresses the following key question:

- Does the management and operation of the prison unit represent an environment which is conducive to an effective and efficient educational program?

### *11.2.1 Current Situation*

- The Windham School System currently operates schools within 36 correctional units throughout the State of Texas.

- Exhibit 11-1 shows the capacity, age, and security classification of each of the 36 units.

## EXHIBIT 11-1

## WSS UNIT PROFILE

| UNIT | DATE ESTABLISHED | INMATE CAPACITY | CUSTODY LEVEL |
|---|---|---|---|
| Beto I | 1980 | 3200 | All |
| Beto II | 1982 | 1032 | Min. |
| Briscoe | 1992 | 1000 | Min./ Med. |
| Central | 1908 | 904 | Min. |
| Clemens | 1901 | 1051 | Max. (All) |
| Coffield | 1985 | 3200 | All |
| Daniel | 1989 | 1000 | Min./ Med. |
| Darrington | 1918 | 1810 | All (Younger Offenders) |
| Eastham | 1917 | 2250 | All (Recidivists) |
| Ellis I | 1983 | 1981 | All (Recidivists) |
| Ellis II | 1983 | 2397 | First Offenders/ Medical / Mental Health |
| Ferguson | 1962 | 2300 | First Offenders (All) |
| Gatesville (F) | 1980 | 1706 | All |
| Goree | 1900 | 1191 | Min. |
| Hightower | 1990 | 1000 | Min./ Med. |
| Hilltop | 1981 | 941 | Min. |
| Hobby | 1989 | 1000 | Min./ Med. |
| Hughs | 1990 | 2250 | All/ Max. |
| Huntsville | 1849 | 1554 | All |
| Jester I & II | 1885 | 701 | Min. |
| Jester III | 1982 | 1018 | Min. |
| Lewis | 1990 | 1000 | Min./ Med. |
| Michael | 1987 | 2430 | All |
| Mountain View (F) | 1975 | 853 | All |
| Pack I | 1982 | 1039 | Min. |
| Pack II | 1982 | 1282 | Min. |
| Ramsey I | 1908 | 1600 | Min. |
| Ramsey II | 1908 | 1050 | Min. |
| Ramsey III | 1983 | 1200 | Min. |
| Roach | 1991 | 1000 | Min. /Med. |
| Retrieve | 1918 | 970 | All |
| Skyview | 1988 | 528 | Mental Health / All |
| Wynne | 1937 | 2500 | All |
| Cleveland | 1989 | 500 | Min/Med |
| Venus | 1989 | 500 | Min/Med |
| Bridgeport | 1989 | 500 | Min/Med |
| Kyle | 1989 | 500 | Min/Med |

SOURCE: Windham School System

- In addition to the 36 public prison units, TDCJ also contracts with two private companies, Wackenhut and Corrections Corporation of America (CCA), for the management of four pre-release units, each maintaining a capacity of 500 beds and each responsible for providing education programs to inmates.

### *11.2.2 Findings*

- Based on the on-site inspections and interviews conducted by our management review team, we analyzed the operations of 24 units in which educational programs are provided: 20 WSS units and four privately-managed prisons. In assessing facility operations, we identified 12 key variables relating to the effectiveness and efficiency of Windham. The variables included:
  - Mission: At the top managerial level, is there a stated commitment to excellence in the educational program? Is there evidence of a specific mission and goals?
  - Warden/Principal: Is there a strong, positive interactive relationship between the warden and the principal? Is the principal a member of the executive staff? Do they meet regularly in planning and problem solving settings?
  - Classification: Are the principal and educational staff closely aligned with the unit classification process? Is the principal a member of the classification committee?
  - Regional Support: To what extent is the central office responsive to unit needs through the regional staff?
  - Work/School: What is the level of competition for an inmate's time between school and work priorities? Are activities effectively coordinated?
  - Vocational Education/Industries: Is there a productive, interactive relationship between Windham's vocational education programs and the unit's industrial operations? Are there apprenticeship programs which support industry?
  - Counts: How often are inmates counted during the day? Are counts coordinated effectively with educational staff?
  - Grievances: Is there evidence of inmate grievances relating to educational programs?

- Disciplinary Reports: What is the volume and nature of disciplinary write-ups on inmates participating in educational programs?

- Space Needs: To what extent do unit administrators and staff indicate problems relating to a lack of space?

- Maintenance Problems: Are there reports or evidence of plant or maintenance problems which impact the operation of educational programs?

- Long-range Planning: To what extent are school and unit administrators involved in planning activities pertaining to future educational needs for the unit, WSS and TDCJ?

- Our review also included surveys of wardens, principals, professional staff, and inmates. When asked to rate the efficiency and effectiveness of unit facilities on a scale of 1-5 (with 5 being the highest rating), the average score given by education staff was 3.6. Principals rated facilities 3.9 and wardens provided a rating of 3.7.

- When the groups surveyed were given the opportunity to note specific issues or problems relating to Windham operations, only 9% of principals referenced problems relating to the plant or equipment. Wardens and professional staff offered no comments on facilities.

## Exemplary Findings

- The on-site audits showed that most wardens are positive about education and have incorporated education within the mission of the unit.

- The level of interaction between principals and classification units in the operation of the unit classification committees was fairly consistent with either the principal serving as a full-time committee member or functioning on a rotating basis with other senior staff. In three units, the involvement was limited to case specific problems.

- Two programs at the Huntsville unit highlighted the importance of effective facility operations in promoting educational opportunities. The metal parts shop supervisor evidenced the potential of linking vocational education and industries through apprenticeship activities. Similarly, the media production center highlighted the potential of a program which has the full support not only of the educational leaders but unit managers and staff as well. Both units were properly equipped, maintained effective procedures and communications to ensure the availability of inmates, and reflected an unusually high level of security/program partnership. Such programs offer a model for the integration of vocational and industry programs.

- The number of inmate grievances relating to educational programs was consistently low among units. The level of written grievances was consistent with both data from inmate surveys and informal on-site interviews with inmates.

- While the number of institutional inmate counts varied among units because of security levels, we found no inordinate level of interruption or disturbance of educational programs in order to maintain security procedures.

- The inmate counting procedures at the Kyle and Bridgeport units are efficient. These unit wardens have established a high priority for all supervisors to ensure that inmate counts are expedited and that inmates are moved to and from classes efficiently.

## Opportunities for Improvement

- In a very limited number of units, wardens were less than enthusiastic about educational program goals and expressed frustration concerning the need to balance educational and work goals.

- One senior warden, who voiced strong and consistent support for Windham activities and whose programs reflected that support, was frustrated with mixed signals from TDCJ on the ordering of priorities between and among work programs, drug treatment, programs for sex offenders, and educational programs.

- The audit of the privately-managed units showed a marked contrast in managerial performance, organizational focus and operating conditions:
  - Wackenhut officials at both the Kyle and Bridgeport units demonstrated clarity and specificity on the importance of educational programming, strong and active support from the warden, and cooperation and coordination between security and professional staff.
  - One of the Corrections Corporation of America units revealed major managerial problems regarding the effectiveness of the educational program and the general management of the institution. The Warden was unable to state specific goals or plans for the unit, and stated that he had no budgets for the educational program or the unit. Interviews with staff revealed an unusually high level of dissatisfaction with the lack of managerial support.
  - In all private units, feedback from wardens about WSS and TDCJ relationships was pointedly critical. Private unit managers consistently described the relationship with Windham and TDCJ as adversarial and non-productive.

- We found three levels of interaction between the warden and principal. In units displaying the most positive commitment for educational programming, the principal was an active member of the executive staff. Alternatively, in some units the wardens relate to the principal as a department head reporting through an assistant warden and meeting occasionally with the executive team. In one unit, the warden does not convene executive meetings and meets individually on an as needed basis with various managers.

- Assessment of the working relationship between vocational education staff and unit-based industries revealed a lack of a well-defined, cooperative relationship and the lack of a goal to advance successful vocational education students to meaningful employment in the Department's industries.

- The audit teams examined a set of traditional security measures in order to assess the relationship between security staff and programs. We inspected count procedures, disciplinary reports, inmate grievances, and also monitored movement patterns in various facilities to determine the extent to which security procedures were coordinated.

  - Three units demonstrated unusually high levels of disciplinary problems within the educational programs. Exhibit 11-2 provides an example of the type of disciplinary problems encountered. As can be seen in this sample, failure to attend class was the most common disciplinary of offense.

EXHIBIT 11-2
DISCIPLINARY OFFENSES IN EDUCATION
SAMPLE UNIT

| CAUSE | APRIL | MAY | JUNE | TOTAL |
|---|---|---|---|---|
| Staff Threat | -- | 1 | -- | 1 |
| Contraband | -- | -- | 1 | 1 |
| Stealing | 1 | -- | -- | 1 |
| Sexual Harassment | -- | 1 | 4 | 5 |
| Disturbance | -- | -- | 3 | 3 |
| Refusing Orders | 5 | 7 | 7 | 19 |
| Refusing Work | 1 | 1 | -- | 2 |
| Failure to Attend | 14 | 20 | 9 | 43 |
| Out of Place | 12 | 6 | 6 | 24 |
| Failure to Work | -- | 1 | 1 | 2 |
| Lying | -- | -- | 1 | 1 |
| Indecent Language | 2 | 3 | 5 | 10 |
| Other Rule Violation | 5 | 8 | 3 | 16 |
| TOTAL | 40 | 48 | 38 | 148 |

- The unit audits revealed little substantive participation of the warden and principal in long-range planning at the unit level.

### 11.2.3 Recommendations

- Wardens should formally require that security supervisors develop and maintain movement and count procedures designed to promote the goal of maintaining a productive educational environment. Procedures should incorporate time limits for the movement of inmates to class and count procedures which minimize teaching disruptions.
- The TDCJ-ID Director, in collaboration with the Windham Superintendent, should direct planning staff to conduct an analysis of the number and nature of disciplinary reports relating to school in units with high levels of disciplinary activity.
- The Windham Superintendent should direct regional administrators to establish a new level of priority for expediting the transaction of purchase requisitions, equipment repairs, and maintenance backlogs.
- The TDCJ-ID Director should issue a policy statement which clarifies the responsibility of wardens to maintain a balanced inmate program which combines both work and school/treatment.
- The TDCJ-ID Director should move immediately to establish a positive, cooperative partnership between the Department and contractors managing private units.

### 11.2.4 Financial Impact

- The ability to reduce the number of disciplinary hearings pertaining to education in units where rates are high will yield a savings of security staff time.
- Closer integration of health services, drug counselors and education staff could yield a savings from the consolidation of counselor positions.
- Closer integration of program services could result in the development of plans for multiple use/shared space in new units.

## *11.3 Space Management and Utilization - Windham*

### *11.3.1 Current Situation*

In our on-site interviews, Windham administrators at both the central office and unit levels stated that the availability of space was the major limiting factor in increasing enrollments to meet the needs of students. Additionally, in many units waiting lists exist for classes (see Exhibit 11-3). Further, we noted that only 73% of the students with less than a 6th grade functioning level, who entered WSS in 1991-92 and who are mandated by statute to be in academic classes, are actually being served. The primary reason given by Windham administrators for not serving more students was a lack of space.

EXHIBIT 11-3

WAITING LISTS FOR EDUCATIONAL PROGRAMS
(Sample Conducted In Five Units)

| UNIT | WAITING ON ACADEMIC CLASS | OLDEST ACADEMIC WAIT DATE | WAITING ON VOCATIONAL CLASS | OLDEST VOCATIONAL WAIT DATE |
|---|---|---|---|---|
| Gatesville | 53 | 6/24/92 | 64 | 2/19/92 |
| Price Daniel | 92 | 05/23/92 | N/A | N/A |
| Hughes | 59 | 04/09/92 | 119 | 10/31/91 |
| Beto I | 170 | 06/23/91 | 217 | 12/10/91 |
| Ferguson | 621 | 04/01/91 | 546 | 04/09/91 |

SOURCE: Information obtained from Windham school units.

### *11.3.2 Findings*

In spite of claims that space is a major limiting factor in serving more students, we observed during our site visits that many classrooms were not close to being full, raising questions about the effective utilization of existing space. Therefore, we conducted a detailed review of Windham's approach to space management. We found that:

- Windham has no space management program:
  - The WSS central office, prior to our review, had no inventories of the educational facility space in each unit.
  - No facility utilization analyses have been conducted.
  - The only Windham professional staff assigned the responsibility for space management also has responsibilities for libraries, textbooks and construction. This individual is a competent professional, nonetheless, he has had no training in, and very little time to devote to, space management.
  - Space management is a very low priority for WSS.
- As a result, we found that the current school space is significantly under-utilized as shown in exhibits 11-4, 11-5, and 11-6.
  - Windham currently utilizes only about 52.2% of its available student capacity in regular classrooms and 57.1% of the capacity in vocational classrooms and labs for an overall utilization rate of 53.7% (exhibit 11-4)
  - Regular classrooms are used an average of 39.0 hours per week (exhibit 11-5) for secondary classes which is a reasonable rate given that the rooms must also be used for postsecondary classes, testing, religious services and other purposes.

## EXHIBIT 11-4

## WEEKLY UTILIZATION OF CLASSROOMS AND LABS WINDHAM SCHOOL SYSTEM, 1992 [a]

| | REGULAR CLASSROOMS | VOCATIONAL CLASSROOMS AND LABS | TOTAL |
|---|---|---|---|
| Weekly Student Contact Hour Capacity [b] | 402,964 | 119,722 | 522,686 |
| Actual Weekly Student Contact Hours for Sample Week [c] | 186,577 | 87,543 | 274,120 |
| Percent of Capacity Used in Sample Week | 46.3% | 73.1% | 52.4% |

[a] Excludes computer labs.

[b] Based on regular classrooms and labs being used 45 hours per week (leaving 20 hours per week for postsecondary education and other uses) and 85% use of student stations when classes meet. The numbers of students stations are 10,535 for academic classrooms and 3,130 for vocational classrooms as seen in exhibits 11-5 and 11-6.

[c] Based on a randomly selected sample week of activity (March 8-14, 1992); sample week had above average student contact hours.

EXHIBIT 11-5

## WINDHAM SCHOOL SYSTEM
## COMPARISON OF INVENTORY AND UTILIZATION OF ACADEMIC CLASSROOMS AMONG SCHOOL UNITS 1992 (a)

| UNIT | # ROOMS | SQ. FT. OF SPACE | AVERAGE SQ. FEET PER ROOM | # STUDENT STATIONS (b) | AVG. HRS CLASSROOM USED/WK | AVG. % STUDENT STATIONS USED/CLASS | AVG. HRS STUDENT STATIONS USED/WK |
|---|---|---|---|---|---|---|---|
| Beto I-MROP | 14 | 8,400 | 600 | 420 | 46.1 | 40.0% | 17.0 |
| Beto I | 22 | 20,352 | 925 | 1,018 | 25.2 | 32.4% | 7.4 |
| Beto II | 7 | 4,766 | 681 | 238 | 42.9 | 49.9% | 19.1 |
| Briscoe | 8 | 4,592 | 574 | 230 | 18.8 | 34.8% | 6.0 |
| Central | 10 | 6,501 | 650 | 325 | 21.0 | 58.5% | 11.1 |
| Clemens | 13 | 7,667 | 590 | 383 | 24.0 | 67.8% | 15.3 |
| Clements | 7 | 4,736 | 677 | 237 | 60.0 | 47.3% | 25.5 |
| Coffield | 13 | 8,545 | 657 | 427 | 34.6 | 70.0% | 20.5 |
| Daniel | 9 | 4,912 | 546 | 246 | 38.3 | 62.3% | 22.7 |
| Darrington | 9 | 6,687 | 743 | 334 | 40.0 | 48.5% | 16.2 |
| Eastham | 8 | 3,959 | 495 | 198 | 39.4 | 72.7% | 25.9 |
| Ellis I | 8 | 4,039 | 505 | 202 | 34.5 | 91.1% | 27.0 |
| Ellis II | 13 | 8,484 | 653 | 424 | 34.5 | 49.0% | 14.8 |
| Ferguson | 13 | 8,160 | 628 | 408 | 43.8 | 51.0% | 18.6 |
| Gatesville | 22 | 13,004 | 591 | 650 | 28.6 | 54.1% | 14.0 |
| Goree | 2 | 1,716 | 858 | 86 | 39.0 | 44.3% | 16.2 |
| Hightower | 9 | 4,912 | 546 | 246 | 50.0 | 62.3% | 28.7 |
| Hilltop | 10 | 6,560 | 656 | 328 | 37.8 | 48.8% | 16.1 |
| Hobby | 9 | 4,912 | 546 | 246 | 46.7 | 77.0% | 33.6 |
| Hughes | 8 | 6,016 | 752 | 301 | 38.5 | 55.9% | 15.3 |
| Huntsville | 7 | 4,960 | 709 | 248 | 90.4 | 100.3% | 29.3 |
| Jester I | 4 | 2,240 | 560 | 112 | 48.0 | 139.3% | 33.5 |
| Jester II | 2 | 1,232 | 616 | 62 | 71.5 | 32.5% | 22.5 |
| Jester III | 6 | 4,017 | 670 | 201 | 65.3 | 50.8% | 30.4 |
| Lewis | 9 | 4,912 | 546 | 246 | 50.0 | 69.6% | 34.0 |
| Michael | 8 | 5,328 | 666 | 266 | 33.8 | 54.1% | 14.3 |
| Mt. View | 6 | 4,558 | 760 | 228 | 32.5 | 36.9% | 9.5 |
| Pack I | 7 | 4,077 | 582 | 204 | 72.9 | 51.5% | 35.2 |
| Pack II | 7 | 5,011 | 716 | 251 | 54.9 | 47.5% | 21.6 |
| Ramsey I | 10 | 6,501 | 650 | 325 | 33.8 | 52.3% | 16.6 |
| Ramsey II | 8 | 4,599 | 575 | 230 | 17.5 | 66.1% | 10.4 |
| Ramsey III | 9 | 5,462 | 607 | 273 | 46.2 | 56.0% | 23.7 |
| Retrieve | 9 | 4,696 | 522 | 235 | 20.0 | 76.7% | 13.5 |
| Roach | 8 | 4,592 | 574 | 230 | 45.5 | 52.3% | 23.3 |
| Skyview | 8 | 3,601 | 450 | 180 | 37.5 | 48.9% | 13.4 |
| Wynne | 8 | 5,990 | 749 | 300 | 41.3 | 58.8% | 20.3 |
| TOTALS | 330 | 210,696 | 638 | 10,535 | 39.0 | 55.7% | 18.3 |

(a) Source: Derived from information furnished by Windham
Utilization based on a sample week of activity (second week of March, 1992)

(b) Estimated at 20 square feet per student station. Normal square feet per student station for free world adult learner is 15.

EXHIBIT 11-6

## WINDHAM SCHOOL SYSTEM
## COMPARISON OF INVENTORY AND UTILIZATION OF VOCATIONAL CLASSROOMS / LABS AMONG SCHOOL UNITS 1992 (a)

| UNIT | # ROOMS | SQ. FT. OF SPACE | AVG. SQ. FT. PER ROOM | # STUDENT STATIONS | AVG. HRS CLASSROOM USED/WK | AVG. % STUDENT STATIONS USED/CLASS | AVG. HRS STUDENT STATIONS USED/WK |
|---|---|---|---|---|---|---|---|
| Beto I & Beto I-SP | 13 | 31,070 | 2,390 | 238 | 18.5 | 98.3% | 15.8 |
| Beto II | 4 | 8,434 | 2,109 | 80 | 45.0 | 80.0% | 33.8 |
| Briscoe | 3 | 6,624 | 2,208 | 60 | 30.0 | 60.0% | 18.9 |
| Central | 4 | 9,510 | 2,378 | 76 | 37.5 | 89.5% | 28.5 |
| Clemens | 5 | 14,561 | 2,912 | 120 | 40.6 | 75.0% | 27.3 |
| Clements | 7 | 28,120 | 4,017 | 140 | 34.7 | 70.0% | 22.6 |
| Coffield | 8 | 18,018 | 2,252 | 154 | 26.3 | 88.3% | 20.0 |
| Daniel | 3 | 6,624 | 2,208 | 60 | 70.0 | 75.0% | 50.6 |
| Darrington | 5 | 10,871 | 2,174 | 100 | 18.0 | 95.0% | 14.9 |
| Eastham | 7 | 17,995 | 2,571 | 140 | 21.4 | 100.0% | 20.0 |
| Ellis I | 5 | 9,111 | 1,822 | 94 | 30.0 | 79.8% | 19.5 |
| Ellis II | 9 | 22,359 | 2,484 | 170 | 33.3 | 74.1% | 21.6 |
| Ferguson | 11 | 26,837 | 2,440 | 220 | 38.2 | 85.0% | 29.7 |
| Gatesville & Hilltop | 7 | 18,625 | 2,661 | 128 | 28.6 | 71.1% | 21.7 |
| Goree | 0 | 0 | 0 | 0 | 0.0 | 0.0% | 0.0 |
| Hightower | 3 | 6,624 | 2,208 | 60 | 80.0 | 65.0% | 51.5 |
| Hilltop | 0 | 0 | 0 | 0 | 0.0 | 0.0% | 0.0 |
| Hobby | 3 | 6,624 | 2,208 | 60 | 60.0 | 95.0% | 55.3 |
| Hughes | 6 | 21,848 | 3,641 | 120 | 30.0 | 95.0% | 26.7 |
| Huntsville | 1 | 720 | 720 | 20 | 0.0 | 0.0% | 0.0 |
| Jester I | 0 | 0 | 0 | 0 | 0.0 | 0.0% | 0.0 |
| Jester II | 0 | 0 | 0 | 0 | 0.0 | 0.0% | 0.0 |
| Jester III | 6 | 13,245 | 2,208 | 120 | 34.7 | 90.0% | 29.1 |
| Lewis | 3 | 6,624 | 2,208 | 60 | 70.0 | 75.0% | 49.7 |
| Michael | 7 | 25,900 | 3,700 | 140 | 29.0 | 100.0% | 24.1 |
| Mt. View | 5 | 8,210 | 1,642 | 115 | 44.0 | 43.5% | 19.5 |
| Pack I | 3 | 4,320 | 1,440 | 60 | 53.7 | 70.0% | 38.6 |
| Pack II | 6 | 16,628 | 2,771 | 120 | 50.0 | 70.0% | 31.4 |
| Ramsey I | 4 | 9,163 | 2,291 | 80 | 32.5 | 95.0% | 29.6 |
| Ramsey II | 2 | 1,420 | 710 | 40 | 15.0 | 80.0% | 11.1 |
| Ramsey III | 5 | 8,560 | 1,712 | 100 | 59.4 | 80.0% | 33.8 |
| Retrieve | 2 | 4,361 | 2,181 | 40 | 21.0 | 90.0% | 18.2 |
| Roach | 3 | 6,624 | 2,208 | 60 | 50.0 | 95.0% | 47.3 |
| Skyview | 3 | 5,224 | 1,741 | 39 | 35.0 | 84.6% | 24.1 |
| Wynne | 6 | 11,755 | 1,959 | 116 | 30.0 | 87.9% | 24.6 |
| TOTALS | 159 | 386,609 | 2,432 | 3,130 | 35.7 | 82.4% | 26.4 |

(a) Source: Derived from information furnished by Windham

- However, when the classrooms are used, the average class sizes are about 17 students while the rooms hold an average of 32 students, yielding only a 55.7% use of the student stations (exhibit 11-5). On the average, every time an academic class meets in WSS, the capacity for 15 additional students is wasted.

- Vocational classrooms/labs are used an average of 36 hours per week, which is significantly less than a reasonable expectation of 45 (exhibit 11-6).

- However, when the vocational rooms are used, the average class size is about 16 compared to an average room capacity of 19 student stations, yielding a reasonable utilization rate of 85%.

- Based upon the above analyses, it is clear that three major factors are contributing to the gross under-utilization of current space:

  (1) Academic class enrollments are not large enough to efficiently utilize all seats in classrooms. Hence, on the average when a class meets, approximately 44% of the student stations are vacant. Several reasons were given to us for the smaller class sizes. Those reasons include:

    - planning small class enrollments by Windham for certain classes such as special education
    - lack of notice of student transfers
    - lack of influence of Windham officials over inmate assignments

  (2) The academic classrooms are designed too large. The average classroom is 638 square feet with the capacity to hold 32 students. Yet, even under the most efficient conditions, the number of students per class is not likely to be over 25 students with an average of about 20 (the current average academic enrollments per class is about 17).

  (3) Vocational classrooms/labs are used only 36 hours per week for secondary courses, leaving the labs vacant for about 9 hours per week when they could reasonably be used.

## Space Management and Utilization - Private Units

Our review of the space management and utilization in the privately-managed units revealed that:

- The Bridgeport Unit is achieving a very high (90%) utilization of its current weekly student contact hour (WSCH) capacity (exhibit 11-7).

## EXHIBIT 11-7

## WEEKLY UTILIZATION OF CLASSROOMS AND LABS, PRIVATELY-MANAGED SCHOOLS, 1992

| | REGULAR CLASSROOMS | VOCATIONAL CLASSROOMS/LABS | TOTAL |
|---|---|---|---|
| **Kyle Unit (Wackenhut)** | | | |
| Student Capacity[a] | 238 | 153 | 391 |
| Actual Students for Sample Week[b] | 116 | 106 | 222 |
| Percent of Capacity Used in Sample Week | 48.7% | 69.3% | 56.8% |
| **Bridgeport Unit (Wackenhut)** | | | |
| Student Capacity[a] | 238 | 135 | 373 |
| Actual Students for Sample Week[b] | 160 | 178 | 338 |
| Percent of Capacity Used in Sample Week | 67.2% | 131.9% | 90.0% |
| **Venus Unit (CCA)** | | | |
| Student Capacity[a] | 225 | 122 | 347 |
| Actual Students for Sample Week[b] | 86 | 71 | 157 |
| Percent of Capacity Used in Sample Week | 38.2% | 58.2% | 45.2% |

[a] Based on 45 hours of room per week and 85% utilization of student station.

[b] Estimated at 27.5 contact hours per student per week.

## EXHIBIT 11-8

## COMPARISON OF INSTRUCTIONAL ROOM SIZES AND UTILIZATION FOR PRIVATELY-MANAGED UNITS, 1992[a/b/]

| | # CLASS-ROOMS | SQ. FT. CLASSROOM SPACE | AVER STU STA/ ROOM | AVER $FT^2$ PER ROOM | AVER # HRS ROOM USED PER WK | AVER % STATIONS USED PER CLASS | AVER HRS PER WK PER STU STATION |
|---|---|---|---|---|---|---|---|
| **Regular Classrooms** | | | | | | | |
| Venus | 4 | 3,270 | 41 | 817 | 32 | 40.6% | 12.3 |
| Kyle | 6 | 3,418 | 29 | 570 | 63 | 45.2% | 18.4 |
| Bridgeport | 5 | 3,420 | 34 | 684 | 49 | 66.8% | 25.9 |
| Cleveland[c/] | - | - | - | - | - | - | - |
| **Vocational Classrooms/ Labs** | | | | | | | |
| Venus | 4 | 4,440 | 22 | 1,110 9 | 27 | 84.6% | 22.2 |
| Kyle | 4 | 2,935 | 28 | 734 | 46 | 53.2% | 26.1 |
| Bridgeport | 4 | 2,450 | 24 | 612 | 61 | 82.2% | 51.0 |
| Cleveland[c/] | - | - | - | - | - | - | |

a/ Source: Derived from information obtained from private units.

b/ Based on a randomly selected sample week of March 8-14, 1992.

c/ The CCA headquarters did not respond to our request for information for the Cleveland Unit.

- The Venus Unit has a very low utilization (45.2%) of its current student capacity (exhibit 11-7).
- The average regular classroom sizes in the three privately-managed units range from 570 square feet at Kyle to 817 at Venus (exhibit 11-8).
- The average hours of room use per week for regular classrooms ranged from 32 hours per week at Venus to 63 at Kyle (exhibit 11-8). For vocational labs, the average weekly hours of room use ranged from 27 at Venus to 61 at Bridgeport (exhibit 11-8).

Based upon the above analysis, it is clear that:

- The Venus and Kyle units are not effectively utilizing their instructional space.
- The Bridgeport unit is obtaining a very high utilization rate.

## Review of Educational Student Capacity By Age of Units

Because of the extended age of some of the units, we analyzed the ratio of student capacity of the educational facilities in the following categories:

- Units over 50 years of age
- Units between 10 and 50 years of age
- Public units less than 10 years of age
- Privately-managed units less than 10 years of age

As shown in exhibit 11-9, we found that:

- The average ratio of student capacity to unit beds is significantly lower in the units over 50 years old and in units 10 to 50 years old.
- The ratio of student capacity to unit beds varies from 10.1% at Goree to 73.1% at Beto I for the units over 50 years old.
- The units between 10 and 50 years old have, on the average, significantly more student capacity relative to the number of beds than other units.
- The ratio of student capacity to unit beds is more consistent in the units less than 10 years old, varying only from 20.9% to 57.9%
- The private units have slightly more than twice the ratio of student capacity to number of beds as the public units.

EXHIBIT 11-9

## COMPARISON OF STUDENT CAPACITY PER PRISON BED BY UNIT, 1992

| | | AVAILABLE STUDENT CAPACITY a) | | | STUDENT CAPACITY AS A PERCENT OF BED NUMBER | | |
|---|---|---|---|---|---|---|---|
| UNITS | # BEDS | ACADEMIC | VOCATIONAL | TOTAL | ACADEMIC | VOCATIONAL | TOTAL |
| PUBLIC: Over 50 Years Old | | | | | | | |
| Central | 904 | 454 | 106 | 560 | 50.2% | 11.7% | 61.9% |
| Clemens | 1,051 | 535 | 168 | 703 | 50.9% | 15.9% | 66.9% |
| Darrington | 1,810 | 467 | 140 | 606 | 25.8% | 7.7% | 33.5% |
| Eastham | 2,250 | 276 | 195 | 472 | 12.3% | 8.7% | 21.0% |
| Goree | 1,191 | 120 | 0 | 120 | 10.1% | 0.0% | 10.1% |
| Huntsville | 1,554 | 346 | 28 | 374 | 22.3% | 1.8% | 24.1% |
| Jester I | 701 | 156 | 0 | 156 | 22.3% | 0.0% | 22.3% |
| Jester II | 701 | 86 | 0 | 86 | 12.3% | 0.0% | 12.3% |
| Ramsey I | 1,600 | 454 | 112 | 565 | 28.4% | 7.0% | 35.3% |
| Ramsey II | 1,050 | 321 | 56 | 377 | 30.6% | 5.3% | 35.9% |
| Retrieve | 970 | 328 | 56 | 384 | 33.8% | 5.8% | 39.5% |
| Wynne | 2,500 | 418 | 162 | 580 | 16.7% | 6.5% | 23.2% |
| **Subtotal** | **16,282** | **3,961** | **1,022** | **4,983** | **24.3%** | **6.3%** | **30.6%** |
| PUBLIC: Units 10-50 Years Old | | | | | | | |
| Beto I & Beto I - MROP | 3,200 | 2,007 | 332 | 2,340 | 62.7% | 10.4% | 73.1% |
| Beto II | 1,032 | 333 | 112 | 444 | 32.2% | 10.8% | 43.1% |
| Ferguson | 2,300 | 570 | 307 | 877 | 24.8% | 13.4% | 38.1% |
| Gatesville | 1,706 | 908 | 179 | 1,086 | 53.2% | 10.5% | 63.7% |
| Hightower | 1,000 | 343 | 84 | 427 | 34.3% | 8.4% | 42.7% |
| Hilltop | 941 | 458 | 0 | 458 | 48.7% | 0.0% | 48.7% |
| Jester III | 1,018 | 280 | 168 | 448 | 27.5% | 16.5% | 44.0% |
| Mt. View | 853 | 318 | 161 | 479 | 37.3% | 18.8% | 56.1% |
| Pack I | 1,039 | 285 | 84 | 368 | 27.4% | 8.1% | 35.5% |
| Pack II | 1,282 | 350 | 168 | 517 | 27.3% | 13.1% | 40.3% |
| **Subtotal** | **14,371** | **5,851** | **1,593** | **7,444** | **40.7%** | **11.1%** | **51.8%** |
| PUBLIC: Units Less Than 10 Years Old | | | | | | | |
| Briscoe | 1,000 | 321 | 84 | 404 | 32.1% | 8.4% | 40.4% |
| Clements | 2,250 | 331 | 195 | 526 | 14.7% | 8.7% | 23.4% |
| Coffield | 3,200 | 596 | 215 | 811 | 18.6% | 6.7% | 25.4% |
| Daniel | 1,000 | 343 | 84 | 427 | 34.3% | 8.4% | 42.7% |
| Ellis I | 1,981 | 282 | 131 | 413 | 14.2% | 6.6% | 20.9% |
| Ellis II | 2,397 | 592 | 237 | 829 | 24.7% | 9.9% | 34.6% |
| Hobby | 1,000 | 343 | 84 | 427 | 34.3% | 8.4% | 42.7% |
| Hughes | 2,250 | 420 | 168 | 587 | 18.7% | 7.4% | 26.1% |
| Lewis (Prototype A) | 1,000 | 343 | 84 | 427 | 34.3% | 8.4% | 42.7% |
| Michael (Prototype B) | 2,450 | 372 | 195 | 567 | 15.2% | 8.0% | 23.2% |
| Ramsey III | 1,200 | 381 | 140 | 521 | 31.8% | 11.6% | 43.4% |
| Roach | 1,000 | 321 | 84 | 404 | 32.1% | 8.4% | 40.4% |
| Skyview | 528 | 251 | 54 | 306 | 47.6% | 10.3% | 57.9% |
| **Subtotal** | **21,258** | **4,896** | **1,755** | **6,650** | **23.0%** | **8.3%** | **31.3%** |
| **PUBLIC TOTAL** | **51,909** | **14,707** | **4,369** | **19,076** | **28.3%** | **8.4%** | **36.7%** |
| PRIVATELY MANAGED UNIT | | | | | | | |
| Bridgeport | 500 | 237 | 134 | 371 | 47.4% | 26.8% | 74.2% |
| Kyle | 500 | 243 | 156 | 399 | 48.6% | 31.2% | 79.8% |
| Venus | 500 | 229 | 123 | 352 | 45.8% | 24.6% | 70.4% |
| Cleveland b/ | -- | -- | -- | -- | -- | -- | -- |
| **PRIVATE TOTAL** | **1500** | **709** | **413** | **1122** | **47.3%** | **27.5%** | **74.8%** |

a) Based on 45 hours of classroom use per week, 85% utilization of student stations, and an average class attendance of 27.4 hours per student per week.

b) The CCA headquarters did not respond to our request for information for the Cleveland Unit.

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### *11.3.3 Recommendations*

- WSS should assign to our recommended (Chapter 8) Office of Planning, Budgeting and Evaluation the responsibility for all space planning, management and utilization analysis. This Office should:
    - annually publish an educational space utilization report for all units. The report should include all testing and postsecondary use of rooms;
    - assess and make recommendations to TDCJ for improving the design layout of existing school unit educational facilities;
    - develop facility utilization and space allocation guidelines to be used to plan new facilities in accordance with program needs;
    - work with TDCJ to make some improvements in the 1,000 bed prototype design and to significantly redesign the educational space in the 2,250-bed prototype to be more efficient to operate and to more nearly meet the needs of planned programs at each of the new units.
- WSS should design and implement a plan which will significantly increase the use of current educational facilities to include:
    - increasing average enrollments per class (see Chapter 8);
    - remodeling existing space to reduce the average classroom size to 500-550 square feet and add more classrooms, where feasible;
    - increasing the use of academic and vocational classrooms/ labs to 45 or more hours per week.
- WSS should establish the number and types of educational programs to be offered at each unit prior to, and as a basis for, determining the amount and design of educational space at each new unit.
- To the extent possible, all educational space should be designed to be flexible so that the space can be easily reconfigured as program needs change in the future.
- The CCA Venus Unit should significantly increase the utilization of its educational space by:
    - reducing the average size of regular classrooms from 817 square feet to 550 square feet;

  - increasing the average weekly room use hours from 32 for regular classrooms and 27 for vocational classrooms to 45;
  - increasing average class sizes from 17 to 20.5 for academic courses.

- The Wackenhut Kyle Unit should increase the utilization of its educational space by:
  - increasing its average class size from 13 to 20.5 for academic courses and from 15 to 18 for vocational courses.

### *11.3.4 Financial Impact*

- Increasing the utilization of existing instructional space will enable Windham's current schools to serve up to 5,726 additional students per week (a 43% increase over current enrollments) at no additional facility costs.
- By more effectively utilizing its educational space, the Wackenhut Kyle Unit can serve 169 more students at no additional facility costs.
- The CCA Venus Unit, by more effectively utilizing its educational space, can serve 190 additional students at no additional facility costs.

### *11.3.5 Implementation Strategies*

To establish a more effective space management program in Windham, the following steps should be taken:

- A single professional should be assigned the responsibility for space planning and management.
- Windham should design and adopt a set of space utilization goals. We suggest an average of 45 hours use per classroom and lab, 20 square feet of space per student station in regular classrooms, and 85% utilization of student stations for secondary courses.
- Windham should annually report to its Board how well each unit is attaining its space utilization goals.
- Where necessary, large classrooms should be remodeled into smaller rooms that meet expected class enrollment sizes.

- Class enrollments should be increased (as recommended in chapter 8) to more effectively utilize existing space.

## *11.4 Construction & Expansion Planning*

### *11.4.1 Current Situation*

- Texas is currently pursuing a major capital expansion program in the prison system. In June 1992, an additional 13,550 beds were under construction by TDCJ increasing prison housing capacity to 67,411 by July 1993.
- Based on population projections developed by the State's Criminal Justice Policy Council, the 72nd Legislature, 2nd called Session, authorized the construction of 25,300 additional corrections beds, including 13,300 institutional division beds and 12,000 beds for substance abuse treatment. By mid-1995, the Department's capacity will increase to 82,161. Within six years, TDCJ projects that a capacity requirement of 110,161 beds. According to reports from the TDCJ-ID's Division of Budget and Management Services, capital commitments for 1992-93 biennium will be $672,100,000. Exhibit 11-10 shows the planned new units.
- In the TDCJ's Four-Year Construction Plan, the agency states that they are considering the possibility of requesting proposals for the private management of 2000 beds out of the new capacity.

As indicated above, TDCJ has plans to build 18 additional prison units by 1998. In an effort to be as efficient as possible, the Department has chosen to build each of the new units using one of the following of two prototype designs:

- Prototype A: 1,000 beds
- Prototype B: 2,250 beds

The two prototype designs have already been used to build several prison units with Prototype A design used to build the units at Lewis, Hightower and Briscoe and Prototype B used for the unit at Michael.

## EXHIBIT 11-10

## PLANNED NEW UNITS FOR WINDHAM SCHOOL SYSTEM

ABILENE (ROBERTSON) 2250 BED UNIT - OPENS 12-31-92
AMARILLO (CLEMENTS PSYCHE CENTER) 450 BED - OPENS 4-31-92
AMARILLO - 1000 BED UNIT - REGULAR UNIT
BEAUMONT (STILES) 2250 BED UNIT - OPENS 05-31-93
BEAUMONT - 1000 BED UNIT - SUBSTANCE ABUSE UNIT
BEEVILLE (MCCONNELL) - 2250 BED UNIT - OPENS 8-31-92
BONHAM - FANNIN COUNTY - 1000 BED UNIT SUBSTANCE ABUSE UNIT
BOWIE COUNTY (NEAR TEXARKANA) 2250 BED UNIT - REGULAR UNIT
BRECKENRIDGE - 500 BED UNIT - SUBSTANCE ABUSE UNIT
BROWNFIELD - 500 BED UNIT - SUBSTANCE ABUSE UNIT
BROWNWOOD - 500 BED UNIT - SUBSTANCE ABUSE UNIT
BRYAN-COLLEGE STATION - 1000 BED UNIT - SUBSTANCE ABUSE UNIT
COLORADO CITY (MITCHELL COUNTY) 1000 BED UNIT - REGULAR UNIT
COTULLA - N-GROUP - 500 BED
CUERO - DEWITT COUNTY - 1000 BED UNIT - REGULAR UNIT
DALHART - 1000 BED UNIT - REGULAR UNIT
DIBOLL - N-GROUP - 500 BED
EDINBURG - 1000 BED UNIT - SUBSTANCE ABUSE UNIT
FAIRFIELD (BOYD UNIT) 1000 BED UNIT - OPENS 8-31-92
FORT STOCKTON - 1000 BED UNIT - REGULAR UNIT
FORT STOCKTON - (PECOS COUNTY) N-GROUP - 500 BED
HONDO (TORRES) - 1000 BED UNIT - OPENS 11-30-92
HONDO - 500 BED UNIT - SUBSTANCE ABUSE UNIT
JASPER - 500 BED UNIT - SUBSTANCE ABUSE UNIT
JESTER IV PSYCHE CENTER 550 BED - OPENS 7-31-93
KARNES COUNTY - 2250 BED UNIT - REGULAR UNIT
LAMESA (SMITH UNIT) 1000 BED - OPENS 10-31-92
LIBERTY COUNTY - 500 BED UNIT - SUBSTANCE ABUSE UNIT
LIVINGSTON (TERRELL) 2250 BED UNIT - OPENS 05-31-93
LUBBOCK - 550 BED UNIT - PSYCHIATRIC HOSPITAL UNIT
MARLIN - N-GROUP - 500 BED
PAMPA (JORDAN UNIT) 1000 BED - OPENS 11-30-92
PAMPA - PRE-PAROLE FACILITY
PLAINVIEW - 500 BED UNIT - SUBSTANCE ABUSE UNIT
QUITMAN - WOOD COUNTY - 500 BED UNIT - SUBSTANCE ABUSE UNIT
RUSK - 1000 BED UNIT - REGULAR UNIT
SAN DIEGO - 500 BED UNIT - SUBSTANCE ABUSE UNIT
SAN SABA - N-GROUP - 500 BED UNIT
TULIA - N-GROUP - 500 BED
WICHITA FALLS - 2250 BED UNIT - REGULAR UNIT

### *11.4.2 Findings*

Opportunities for Improvement

Our review of the educational space within the two prototypes revealed:

- Windham administrators have had only limited input into the design of the educational space in the two prototype units.
- The amount of educational student capacity and the designed layout of the educational space in Prototype A are more consistent with educational objectives and more efficient to operate.
  - Prototype A's ratio of student capacity (while lower than the private prisons) is in line with the average ratio of other public prisons (exhibit 11-11);
  - the academic classroom sizes of 550 square feet per room are in line with planned numbers of students per class;
  - all of the educational space is in one location (exhibit 11-12) and, hence, more efficient to manage than space in multi-locations.
- A significant design problem with the educational space in Prototype A, however, is the "U" shape of the hallway which creates security "blind" spots (exhibit 11-13) and increases the cost of security.
- Both the amount of student capacity and the designed layout of the educational space in Prototype B are inadequate:
  - the ratio of student capacity to number of beds in Prototype B is only .23 students per bed, far below the average of .36 for all Texas public prisons and .74 for the private prisons (exhibit 11-11);
  - the average regular classroom size of 651 square feet is too large and will result in inefficient use of classrooms;
  - the location of the academic classrooms within the security core of the unit complicates the process of inmate movement and introduces potential security problems in the event of an emergency (exhibit 11-14).
  - vocational and academic classrooms are not adjacent to each other creating management inefficiencies (exhibit 11-14).
  - The academic space is co-located with health and other functions (exhibit 11-15), creating extra traffic and security problems.

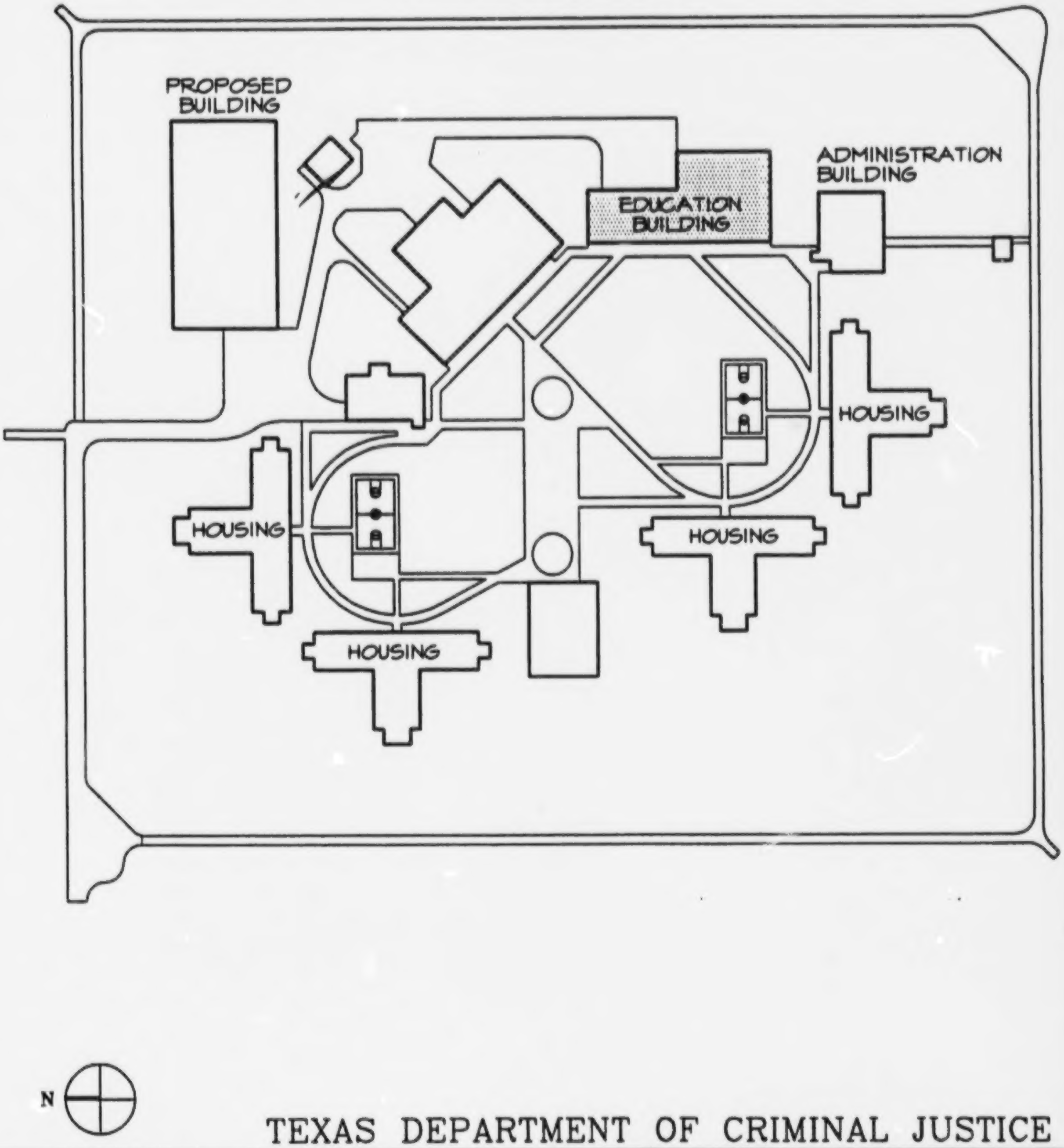
## EXHIBIT 11-11

## COMPARISON OF EDUCATIONAL FACILITIES IN PROTOTYPE UNITS TO AVERAGE FOR UNITS BETWEEN 10 AND 50 YEARS OLD

| | AVG. FOR UNITS 10–50 YEARS OLD | PROTOTYPE A<br>1,000 BED PROTOTYPE (LEWIS UNIT) | PROTOTYPE B<br>2,250 BED CAPACITY (MICHAEL UNIT) | AVG. PRIVATELY MANAGED UNITS |
|---|---|---|---|---|
| # BEDS | 1,437 | 1,000 | 2,450 | 500 |
| TOTAL INSTRUCTIONAL SPACE | | | | |
| Academic Classrooms | | | | |
| Number | 9 | 8 | 7 | 5 |
| Square Feet | 6,950 | 4,400 | 4,560 | 3,369 |
| Student Stations | 344 | 220 | 228 | 168 |
| Student Capacity | 480 | 307 | 318 | 236 |
| Vocational Classrooms/Labs | | | | |
| Number | 7 | 3 | 9 | 4 |
| Square Feet | 12,116 | 6,624 | 25,240 | 3,275 |
| Student Stations | 140 | 60 | 180 | 74 |
| Student Capacity | 195 | 84 | 251 | 138 |
| Total Student Capacity | 675 | 391 | 570 | 374 |
| INSTRUCTIONAL SPACE/100 BEDS | | | | |
| Academic Classrooms | | | | |
| Number | 0.66 | 0.80 | 0.29 | 1.00 |
| Square Feet | 483.67 | 440.00 | 186.12 | 673.80 |
| Student Stations | 23.92 | 22.00 | 9.31 | 33.60 |
| Student Capacity | 33.39 | 30.71 | 12.99 | 47.20 |
| Vocational Classrooms/Labs | | | | |
| Number | 0.51 | 0.30 | 0.37 | 0.80 |
| Square Feet | 843.18 | 662.40 | 1,030.20 | 655.00 |
| Student Stations | 9.71 | 6.00 | 7.35 | 14.80 |
| Student Capacity | 13.56 | 8.38 | 10.26 | 27.60 |
| **Total Student Capacity** | **46.95** | **39.09** | **23.25** | **74.80** |

## EXHIBIT 11-12

## PROTOTYPE A SITE PLAN


PROPOSED BUILDING
EDUCATION BUILDING
ADMINISTRATION BUILDING
HOUSING
HOUSING
HOUSING
HOUSING
N

TEXAS DEPARTMENT OF CRIMINAL JUSTICE

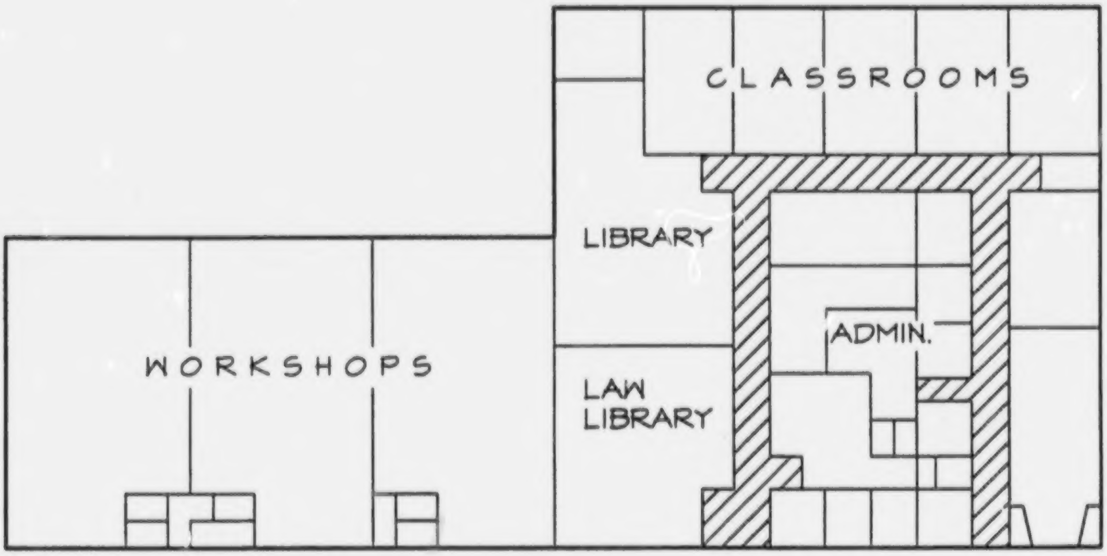
1000 BED UNIT PROTOTYPE
SITE ORIENTATION PLAN

AUGUST 1992

0' 50' 100'

**EXHIBIT 11-13**

**PROTOTYPE A - EDUCATIONAL BUILDING FLOOR PLAN**


CLASSROOMS
LIBRARY
WORKSHOPS
ADMIN.
LAW LIBRARY

N

TEXAS DEPARTMENT OF CRIMINAL JUSTICE

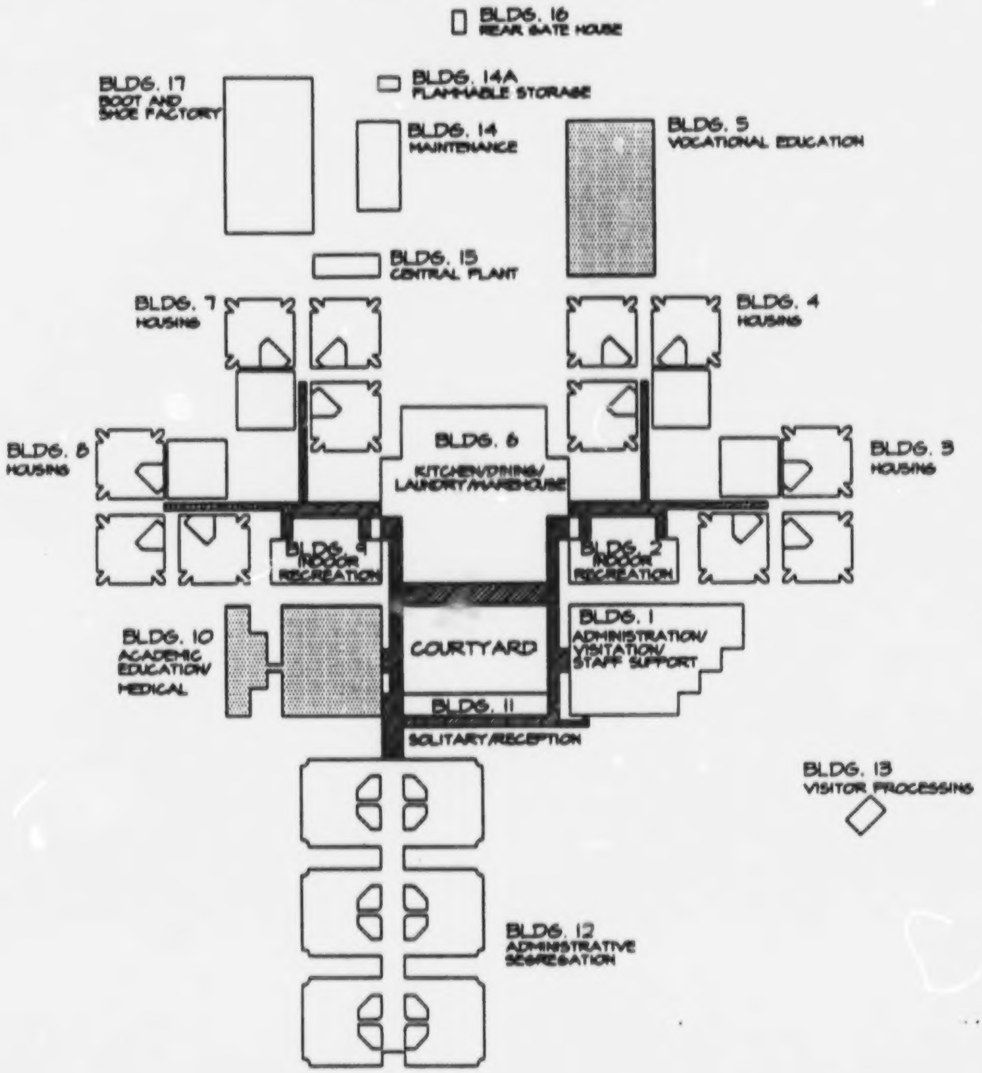
1000 BED UNIT PROTOTYPE
EDUCATIONAL BUILDING FLOORPLAN

AUGUST 1992

0' 8' 16'

## EXHIBIT 11-14

## PROTOTYPE B SITE PLAN


BLDG. 16 REAR GATE HOUSE
BLDG. 17 BOOT AND SHOE FACTORY
BLDG. 14A FLAMMABLE STORAGE
BLDG. 14 MAINTENANCE
BLDG. 5 VOCATIONAL EDUCATION
BLDG. 15 CENTRAL PLANT
BLDG. 7 HOUSING
BLDG. 4 HOUSING
BLDG. 8 HOUSING
BLDG. 6 KITCHEN/DINING/ LAUNDRY/WAREHOUSE
BLDG. 3 HOUSING
BLDG. 9 INDOOR RECREATION
BLDG. 2 INDOOR RECREATION
BLDG. 10 ACADEMIC EDUCATION/ MEDICAL
COURTYARD
BLDG. 1 ADMINISTRATION/ VISITATION/ STAFF SUPPORT
BLDG. 11 SOLITARY/RECEPTION
BLDG. 13 VISITOR PROCESSING
BLDG. 12 ADMINISTRATIVE SEGREGATION

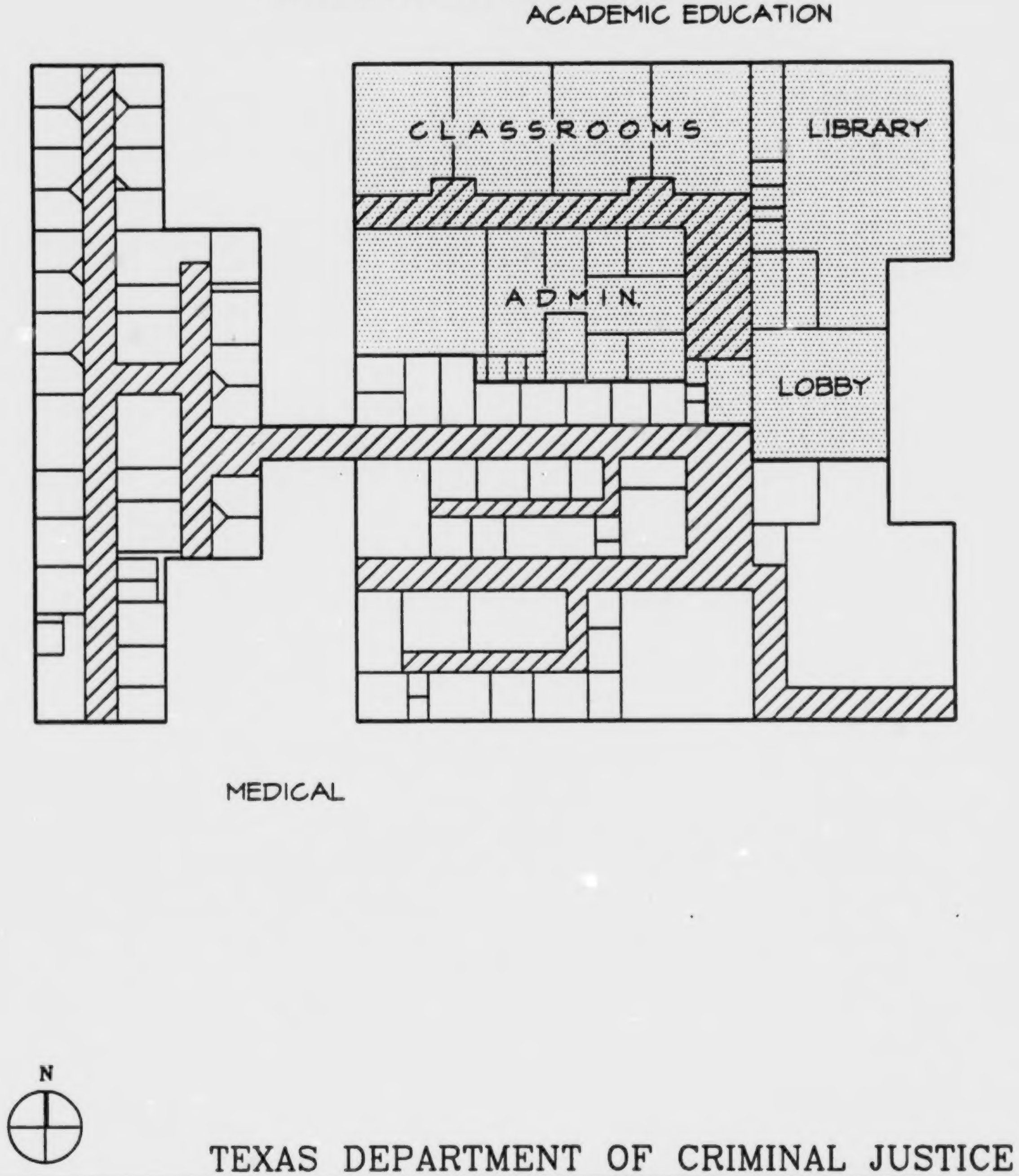
TEXAS DEPARTMENT OF CRIMINAL JUSTICE

2250 BED UNIT PROTOTYPE
SITE ORIENTATION PLAN

AUGUST 1992

**EXHIBIT 11-15**

**PROTOTYPE B - EDUCATIONAL BUILDING PLAN**


ACADEMIC EDUCATION
CLASSROOMS
LIBRARY
ADMIN.
LOBBY
MEDICAL
N

TEXAS DEPARTMENT OF CRIMINAL JUSTICE

2250 BED UNIT PROTOTYPE
ACADEMIC BUILDING FLOORPLAN

AUGUST 1992

0' 8' 16'

### *Opening New Facilities*

- We found problems with existing procedures for the opening and start-up of some new facilities. These problems have been repeated, yet they could be avoided with an improved program planning initiative and more investment in the process of opening new facilities. Problem areas include:

    - lack of equipment
    - poor recruitment
    - unfinished construction
    - lack of supervisory training
    - lack of property control procedures
    - shipping delays or conflicts
    - poor key control procedures
    - delays in security staffing

    In one unit, for example, several problems were documented. Newly appointed staff did not have sufficient time to become familiar with the building or equipment. Supervisors were assigned after the arrival of staff. Clerical staff were not employed until three weeks after the unit opened, despite a program involving the administration of 100 TABE tests per day. Manuals and materials were not available for students. Some vocational areas were signed off as finished although major construction was incomplete.

- We also found that where necessary modifications were required in earlier prototype units, the changes have not been incorporated in the design of newly planned facilities. Such changes include:

    - vocational shop lighting
    - vocational shop wiring
    - air vent installation
    - air conditioning for computer rooms
    - security fencing near vocational shops
    - library space modifications

- Further, we found that the prototype designs are not being tailored to meet the education program needs at a new unit. Rather, the space was dictating program offerings.

### *10.4.3 Recommendations*

- TDCJ-ID and WSS should reevaluate the utilization of the "prototype" concept for expansion. Population shifts in the last decade, impacting the size and nature of the population, have changed security and program requirements dramatically. The advent of AIDS, the growth and changing nature of female offenders, the rapidly growing evidence of substance abuse and addiction, the spread of young, urban based violence -- all represent changes which affect space, security and program requirements. A prototype design can continue to be used as a starting point but must be sufficiently tailored to meet changing demands within the system.

- TDCJ should review the feasibility of using a facility design similar to the design currently utilized by Wackenhut at Bridgeport for building some of the new TDCJ units. The Bridgeport unit is designed to be highly efficient to manage.

- The avoidance of future operating problems within the educational units of the planned new prisons requires that educational staff be integrally involved in the pre-design planning process. While WSS central office staff had some input into construction planning activities, there needs to be a formal pre-design program planning initiative for education that is fully integrated with other TDCJ-ID capital planning activities.

- The TDCJ-ID Director should invest additional resources in the pre-design program planning process for new units to incorporate not only WSS central staff but also input from unit principals and teachers, including those who work in recently opened units.

- The TDCJ-ID Director should take immediate corrective action to improve procedures for the opening of new units. Measures should include allowance of sufficient time prior to opening for full hiring, staff orientation, and equipment inventory control. The National Institute of Corrections technical assistance services include valuable, federally supported training and planning resources for states opening new prisons. We recommend that the Department apply for such support immediately.

- If the use of the current 1,000 and 2,250 bed prototype designs is continued as the basis for building new prison units:

    - the design of the educational space in the Prototype A (1,000 bed) unit should be altered to replace the U shaped hallway with a more efficient design

    - the design of the educational space in the Prototype B (2,250 bed) unit should be altered to:

        - * transferring some of the square feet of space from vocational to regular classrooms
        - * reduce the size of regular classrooms to 500-550 square feet per room
        - * place the academic and vocational space adjacent to each other

### 11.4.4 Financial Impact

- Redesigning the educational space in the Prototype B unit will:
  - increase the number of students that can be served by current space allocations without added costs
  - increase the future flexibility of the educational space
  - reduce the amount of administrative time spent traveling between the units
- The cost savings of a more effective facilities management program has been included in our recommendation in chapter 6 to establish an Office of Planning, Budgeting and Evaluation in the Windham Central Office.

### 11.4.5 Implementation Strategies

Many of the recommendations in section 11.4.3 require a new level of interaction between TDCJ Executive Director and Windham. The TDCJ Director should assign planning staff to review the entire audit and prepare a briefing seminar on all issues pertaining to improved coordination between TDCJ-ID and Windham.

Following the planning meeting the Executive Director should prepare a revised policy statement which emphasizes the importance of education, commits to developing a system of performance measurement based on recidivism, and balances the priorities of work, education and treatment strategies for inmates. The statement should be presented to the TDCJ Board for approval at the earliest possible date.

The TDCJ Executive Director should initiate efforts to improve the private/public partnership in the maintenance of existing prison management contracts, and in determining the feasibility of expanding privatization given the information in this report. Action should include:

- a statement of commitment to an improved working relationship;

- a review and strengthening of the contractual agreements at the time of renewal;
- reduced levels of monitoring based on an improved contract;
- sharing of information, resources and technical assistance.

## 11.5 Custodial Maintenance & Energy

This section presents material relating to the cleanliness, physical condition and energy management practices within the educational units.

### 11.5.1 Current Situation

Within the 24 units audited, the quality of custodial services and maintenance vary considerably depending upon age and size of the facility. In each unit general cleaning services are provided through inmate labor under the supervision of maintenance and security staff assigned to the school unit. Equipment repairs for education programs are handled through the WSS warehouse. Procedures for equipment repair are discussed in the following section on warehousing.

### 11.5.2 Findings

- Surveys of wardens, professional staff and principals indicated that custodial and maintenance services were fairly effective — 55% of the principals and 62% of the professional staff in public units indicated that space and facilities were sufficient; 94% of the principals and 85% of the staff characterized the custodial condition of classrooms as *excellent*. The private units received a lower rating. While 75% of the principals indicated there was sufficient space and facilities, only 45% of the professional staff agreed. All principals rated the custodial condition as *excellent*; only 63% of the teachers and professional staff agreed.

- The audit teams noted consistently that educational units were maintained in a clean and orderly manner, and that rules and procedures for routine cleaning and maintenance services existed and were followed.

- Ten facilities reported unacceptable delays in obtaining a central office response to maintenance or equipment problems.

- A sharp contrast was observed in 17 of the 20 units between the time required to obtain equipment or resolve a maintenance problem locally, and the routine delays associated with central office maintenance and equipment problem responses. At the local level the time required to solve a problem was one to two days. When central office action was required, the response time ranged from one week to six months, with an average time of two to three months.

- In contrast, the audit of the four privately-managed units revealed minimal problems with maintenance and repair concerns. A very rapid response time was found in each unit.

- Inmates are the primary resource for facility custodial services; in most units 100% of the routine cleaning function is accomplished by inmates.

- Two units indicated that the scheduling of educational and other work activities resulted in an insufficient inmate pool available for custodial jobs.

- The condition of libraries in all units audited was reported as *good* or *excellent*.

- In assessing the role of the regional administrators in providing assistance on such problems as maintenance and equipment delays, the audit teams found that at least five units characterized the relationship as less than helpful. Eight units described the relationship with central office representatives as responsive and positive.

- Only one unit rated the custodial supervision by the corrections staff as less than *excellent* or *good*.

- The auditing teams found no evidence that principals or regional administrators maintain a formal energy plan.

- Two units, Ramsey I and Pack II, showed evidence of a unit-based energy conservation program.

### *11.5.3 Recommendations*

- WSS should require that regional administrators collaborate with unit principals and wardens in the development and implementation of comprehensive energy management plans.

- Regional administrators should be instructed to assign a higher priority to coordinating local unit/central office communications in a manner that reduces delays in maintenance and equipment requests.
- To reduce delays and increase productivity, WSS should examine the feasibility of allowing more autonomy in the local repair of equipment.
- All units should set as a goal that custodial services are provided at a 100% level by inmates.

### *11.5.4 Financial Impact*

Through full utilization of inmates in custodial and minor repair activities, units should be able to further reduce the need for civilian staff, especially in new facilities. A high priority should be assigned to classification to maintain a pool of low-risk, longer term inmates who can be trained in the maintenance and minor repair of new units.

### *11.5.5 Implementation Strategies*

With the relocation of the regional administrators as recommended in Chapter 6, the Superintendent should develop a 90-day action plan for each region that includes specific goals for reducing maintenance delays.

## *11.6 Assets Inventory and Management*

This sub-section addresses the manner in which WSS maintains effective procedures for the inventory and monitoring of school property.

### *11.6.1 Current Condition*

As a unit of the TDCJ, WSS must account for school property in the same manner as TDCJ-ID accounts for state property. School property is managed in accordance with the provisions of State Purchasing and the General Services Commission as well as the guidelines of the TEA. WSS follows the TDCJ-ID property Procedures Manual with a few exceptions.

Within Windham, fixed assets refer to items purchased with funds appropriated by the Texas Education Agency. Items purchased with grant funds are accounted for separately as Windham Special Fixed Assets.

Procedures for the management and accounting of school property are established in writing, current, and specific to Windham conditions. WSS exercises the option of conducting unannounced "spot" or 100% annual inventories on units.

The unit school principal has sole authority and responsibility for managing WSS fixed assets on the unit. The majority of WSS fixed assets are marked with a non-metallic sticker that contains a WSS three-digit code which is followed by a number. All WSS property not identified as a fixed asset is marked with a special decal.

All TEA fixed assets that require disposal are returned to the Central Warehouse. Special procedures exist for local disposal of items which cannot be transported economically to the warehouse.

### *11.6.2 Findings*

- WSS was able to provide current detailed computerized inventory lists for each unit which we scheduled for an on-site audit.
- All principals were aware of and familiar with procedures governing the management of fixed assets.
- In an unannounced "spot" check of 15 randomly selected items at 24 institutions, in all but two units, all items were identified and documented.
- Where items were not available, there was evidence of a temporary fixed asset form.

- "Spot" checks revealed that units comply consistently with procedures concerning the marking of equipment and fixed assets.

- Vocational shops in the majority of units evidenced clear, documentable procedures for control and inventory of tools, including the use of "shadow-board/check-out and return" procedures.

- Interviews were conducted with wardens and principals concerning the disposal of property. All unit staff demonstrated familiarity with procedures and, where checked, documentation of records.

### *11.6.3 Recommendations*

- The TDCJ-ID Director should examine the feasibility of consolidating all asset management responsibilities relating to education within the agency. The recommendation is consistent with the goal of attaining administrative efficiencies. The audit teams observed that too much of the principal's time is directed towards property management.

- As Windham continues to expand to new units and communities, consideration should be given to adjusting property disposal regulations to maximize the opportunity of providing used equipment resources to local communities. Special attention should be directed towards vocational education equipment and computers. Accountability for property disposal can be maintained through maintenance of the reporting system.

- Following recommendations in chapter 10, improved computer applications should be developed for asset tracking and the reporting of property disposal.

### *11.6.4 Financial Impact*

- While analysis of TDCJ-ID administrative staffing was beyond the scope of this project, consolidation of the fixed asset management function, along with warehousing and purchasing, should yield some staff savings and should be studied further.

### *11.6.5 Implementation Strategies*

- If the recommendation for consolidation of certain administrative functions currently managed by WSS within TDCJ-ID is further analyzed by the Department as proposed in chapter 6, the Director should target asset management as an area for review.

- The management information systems task force proposed in chapter 9 should incorporate asset management on their target list of administrative applications needing development.

## 11.7 Purchasing

This section describes the existing procurement system within the WSS, analyzes the flow of requisitions, and the efficiency of existing procedures.

### 11.7.1 Current Situation

The WSS Superintendent is responsible for the development and implementation of a comprehensive purchasing system which complies with state, federal and local statutes and policies, and represents sound business management practices. Such practices must also conform with the provisions of the annual budgets adopted by Windham and the TDCJ-ID. At the Central Office level, day-to-day administration of the purchasing system is managed by the Director of Business, who coordinates the activity of a purchasing supervisor and five purchasing agents, two of whom are WSS employees and three are employees of TDCJ-ID.

Currently, as seen in exhibit 11-16 the State's General Services Commission delegates the dollar amount that can be spent at the agency level.

EXHIBIT 11-16

CURRENT TDCJ OPEN MARKET BID REQUIREMENTS

| BID AMOUNT | PROCEDURE |
|---|---|
| $0 - $500 | Direct Buy (No Bid) |
| $500 - $1,000 | 3 Formal Bids |
| $1,000 - $5,000 | 3 Formal Bids |
| Above $5,000 | GSC Approval |

Although a statewide uniform purchasing policy governs all procurement activity within the units, two different sets of bidding regulations are operative. One set of rules governs expenditure of TEA funds, while the other regulations pertain only to those funds expended by Windham which are legislatively-appropriated through TDCJ-ID. The only distinction between the procedures pertains to the level of purchase (dollar amount) at which agency sign-off is required.

- When TEA funds are spent, the purchasing agent may directly approve action of an item in the $1000-5000 range, pending completion of three formal competitive bids.
- When TDCJ-ID funds are involved, departmental procedures require review at a higher level prior to purchase.

Each unit must maintain separate procedures for procuring equipment which is stocked in the WSS warehouse, and for materials supplies and minor equipment which must be purchased in the open market. (According to the unit report, 4600 of the 5506 orders in 1991-92 involved open market purchase.)

A three-year purchase order summary prepared by WSS, (Exhibit 11-17) shows the following activity:

EXHIBIT 11-17

NUMBER OF WINDHAM PURCHASE ORDERS
1989-92 SCHOOL YEARS

| SCHOOL YEARS | STATE | E & R | WSS | TOTAL |
|---|---|---|---|---|
| 1989/90 | 860 | 403 | 3,854 | 5,117 |
| 1990/91 | 1,119 | 424 | 3,604 | 5,227 |
| 1991/92 | 1,750 | 429 | 3,327 | 5,506 |

The higher rate of growth within state accounts is consistent with the TDCJ-ID expansion initiative which in some cases may move more expeditiously than Windham start-up operations.

### *11.7.2 Findings*

- Purchasing policies and procedures are clearly established and maintained within WSS and at the unit level in a manner which is consistent with the General Services Commission requirements.
- Principals and professional staff are familiar with procedural requirements.
- Interviews with unit managers and professional staff revealed consistent concern about time required for approval of routine items. Exhibit 11-10 is a flow chart of the approval process.
- Auditors randomly selected 14 open market requisition forms from WSS purchasing files to test the time required from the initiation of the teacher request to delivery of the item. Exhibit 11-11 displays the results of the sampling.
- We found that units purchasing materials and items under the open market requisition procedure were required to wait periods ranging from 41 days up to six months and three weeks to acquire items such as presentation chart stands valued at $47.95 and a vinyl vent pipe, costing $1.95.
- We found that, in most instances, the items requested were for on-going classroom activity. In many instances, the lack of materials prevented teachers from pursuing regular, planning instructional activity. From our interviews and reviews of inventory lists, we could find no supportable reason why materials necessary for planned classroom activity could not be maintained in warehouse stock.
- A limited review of the size and scope of TDCJ-ID purchasing operation suggests that there may be administrative efficiencies through consolidation of the function.
- Our audit of the requisition flow indicates that the purchasing process is slow and tedious as displayed in exhibits 11-18 and 11-19.
- We found that within the private units, wardens had a higher level of discretion and autonomy concerning the purchase and repair of items. Both contractors reported that wardens could make direct open market purchases up to $5,000 without prior corporate approval. Such practices reduce, if not eliminate, the delay problems documented in exhibits 11-18 and 11-19.

# EXHIBIT 11-18
# WSS PURCHASE REQUISITION FLOW CHART

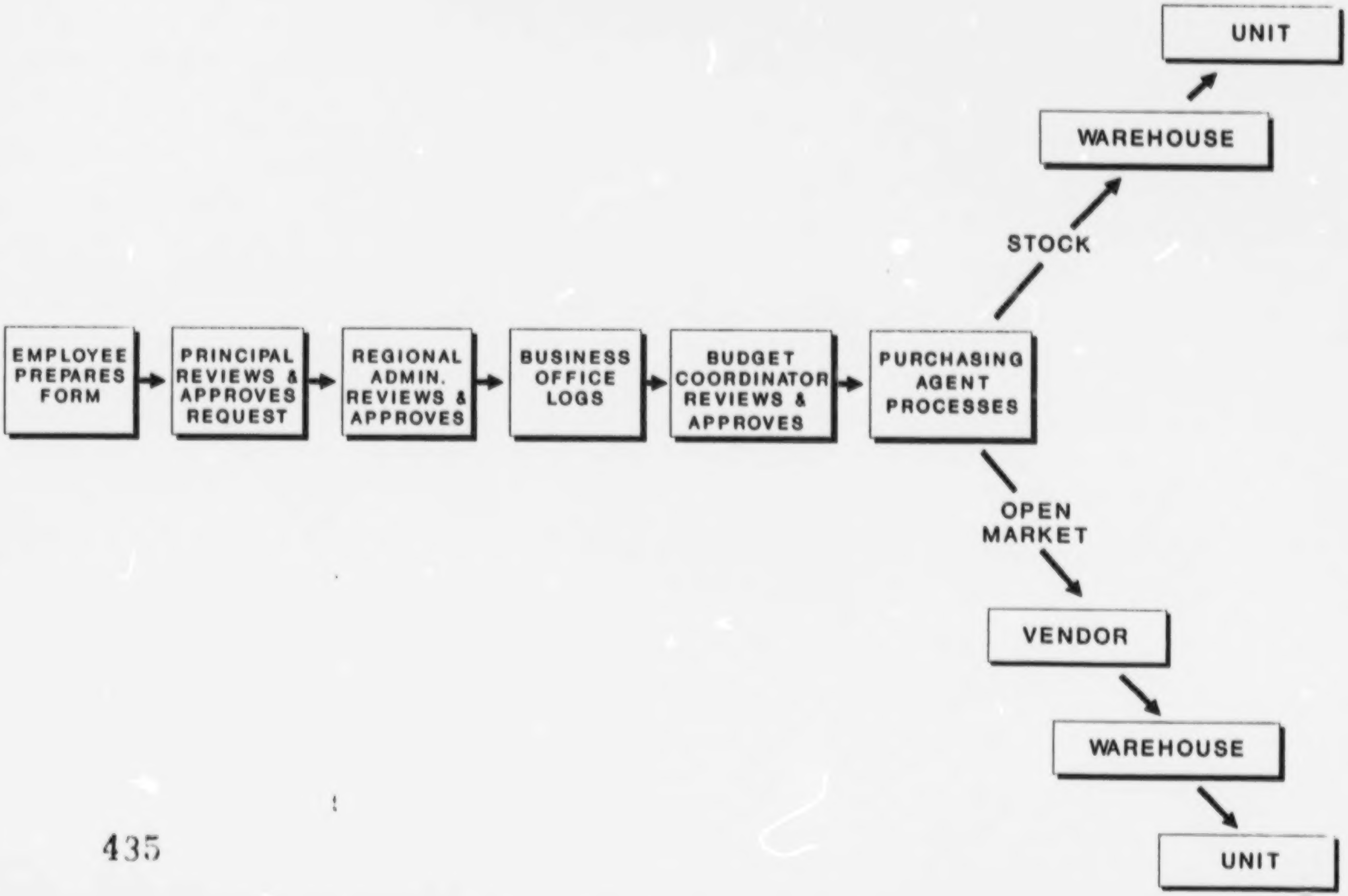

EMPLOYEE PREPARES FORM
PRINCIPAL REVIEWS & APPROVES REQUEST
REGIONAL ADMIN. REVIEWS & APPROVES
BUSINESS OFFICE LOGS
BUDGET COORDINATOR REVIEWS & APPROVES
PURCHASING AGENT PROCESSES
STOCK
WAREHOUSE
UNIT
OPEN MARKET
VENDOR
WAREHOUSE
UNIT

EXHIBIT 11-19

LAPSED TIME FROM REQUISITION TO RECEIPT OF ITEMS FOR A RANDOM SAMPLE OF WSS PURCHASES, 1992

| UNIT | ITEM | COST | DATE OF REQUEST | RECEIVED AT WAREHOUSE | RECEIVED AT UNIT | LAPSED TIME (DAYS) |
|---|---|---|---|---|---|---|
| Central | Charts | $47.95 | 01/29/92 | 07/14/92 | 07/20/92 | 17 |
| WSS | Bindery | $49.50 | 06/06/92 | 07/20/92 | 07/31/92 | 55 |
| Beto I | Faucet Handle | $34.97 | 04/30/92 | 06/23/92 | 07/20/92 | 81 |
| Beto II | Erasers | $2.95 | 05/14/92 | 06/30/92 | 07/20/92 | 67 |
| Retrieve | Flower Seeds | $17.94 | 06/04/92 | 07/01/92 | 07/21/92 | 47 |
| Ramsey I | Plywood | $1,425.00 | 02/25/92 | 05/22/92 | 05/27/92 | 91 |
| Ellis II | Lime | $160.00 | 02/05/92 | 04/13/92 | 04/16/92 | 70 |
| Eastham | Vinyl Vent Pipe | $1.95 | 05/15/92 | 06/16/92 | 06/25/92 | 41 |
| Daniel | Wet Mops | $85.32 | 02/03/92 | 03/17/92 | 03/31/92 | 56 |
| Clements | Parts Cleaning Brush | $22.75 | 04/24/92 | 08/14/92 | — | – |
| Ellis I | (2) AAA Batteries | $5.78 | 06/08/92 | 08/10/92 | 08/20/92 | 75 |
| Michael | (1) Box of Erasers | $4.34 | 06/02/92 | 08/10/92 | 08/17/92 | 76 |
| Roach | Cabinet Hinges | $17.50 | 06/15/92 | 08/07/92 | 08/17/92 | 6 |
| WSS | Computer Equipment | $1,265.00 | 06/23/92 | N.R. | N.R. | – |

### *11.7.3 Recommendations*

- The Superintendent should require that all regional administrators facilitate equipment purchasing and repair backlogs by coordinating communications between units and the central purchasing agent.

- The Business Director and Purchasing Agent, in collaboration with unit principals, should establish a priority-based system for processing orders relating to instruction.

- Procedures for "local purchase" option on items under $500 should be exercised when delivery estimates by central office exceed ten days.

- Direct "drop" delivery practices should be expanded on items where purchase is delayed beyond 30 days.

- Procedures should be developed for the expanded use of local equipment repair for items needed for instructional services.

- The Windham Purchasing/Warehouse Departments should ensure that materials needed for regularly planned academic and vocational classes are maintained in stock inventory.

- The superintendent should reduce the number of signatures required for approval on purchase of open market and stock items to those individuals whose review is required to ensure that the purchase is budgeted, and that the purchasing agent has correct specifications. Any other necessary reviews should be conducted on a post-audit basis.

### *11.7.4 Financial Impact*

- The primary benefits relating to the above recommendations relate to increasing productivity and effectiveness of unit staff through faster acquisition of needed items and equipment. The cost savings would be for one full-time position in the purchasing office at $21,900. In addition, consolidation with TDCJ-ID could yield a reduction in purchasing staff.

### *11.7.5 Implementation Strategies*

- The superintendent should direct regional administrators to assign priority attention to eliminating the backlog of stock and open market purchase requests. Regional administrators should maintain tracking data on all requests pertaining to ongoing educational activities and should intervene directly with central office purchasing and warehouse on items delayed time limits included in the recommendations.
- The superintendent should instruct regional administrators to draft new purchase expediting policies which reduce the number of required signatures for submittal to the TDCJ-ID director within 60 days.

## *11.8 Warehousing*

This section describes the function and condition of the WSS central warehouse and its relationship to the operation of each unit's educational programs.

### *11.8.1 Current Situation*

The warehousing and shipping function of the Windham School System is administered under the Director of Business who manages the activities of a warehouse supervisor and a staff of 11 employees. A warehouse purchaser, receiving clerk, warehouse clerk property officer and two truck drivers are TDCJ-ID employees. Two warehousemen, a clerk typist, maintenance man and receiving clerk are employed by WSS. TDCJ employees are compensated on a higher pay scale.

Warehousing includes receiving, storing, organizing and shipping all materials and equipment ordered for WSS's educational units and the central office. The warehousing office also maintains responsibility for coordination of the school system's equipment repairs.

The unit operates through a centrally located warehouse at headquarters office in Huntsville. The warehouse building, which also houses the business division offices, includes approximately 10,500 square feet of storage space.

Within TDCJ-ID, the Department maintains 1,058,215 square feet (including Windham) of warehouse space (exhibit 11-20).

EXHIBIT 11-20

TDCJ-ID WAREHOUSE CAPACITY

| DIVISION | SQUARE FEET |
|---|---:|
| Security | 3,025 |
| Training | 2,640 |
| Windham | 10,500 |
| Health Services | 27,746 |
| Purchasing | 124,691 |
| E & R | 16,800 |
| Facilities | 114,340 |
| Food Service/Agriculture | 188,600 |
| Laundry | 3,641 |
| Agriculture | 216,903 |
| Industry | 334,005 |
| Other | 15,324 |
| TOTAL SQUARE FEET | 1,058,215 |

### *11.8.2 Findings*

- The warehouse supervisor maintains a computerized inventory of all available stock items within the system.

- The unit does not maintain a record of item shelf life. The Supervisor reports that TDCJ runs an annual inventory list to track the movement of items. Stock is then adjusted to reflect system needs and activity.

- Unit requests for shelf stock are increasing steadily as shown in exhibit 11-21.

EXHIBIT 11-21

NUMBER OF WINDHAM SHELF STOCK REQUESTS
1988 - 1992

| YEAR | # OF REQUESTS |
|---|---|
| 1988 | 1,954 |
| 1989 | 1,990 |
| 1990 | 2,531 |
| 1991 | 2,781 |
| 1992 | 3,000<br>(PROJECTED) |

- We found that the turnaround time for the warehouse in the delivery of open market purchase items is fairly consistent and does not appear to be the primary source of extensive delays. On the items in our sample, the time between receipt of the item at the warehouse and receipt at the unit ranged from three to 30 days. In most instances, the item was delivered within 10 days.

- The unit maintains a weekly delivery schedule for materials and items required by units throughout the state. The unit coordinates with TDCJ for transportation of materials to the Western region.

- Procedures exist to allow limited "direct delivery" of open market purchases to units on an emergency basis.

- A review of open stock purchase records indicates that the turnaround time between receipt of goods and delivery to the units is consistent and efficient.

- Exhibit 11-22 displays the needs for additional warehouse space as reported by Windham to support future program and student inmate growth.

EXHIBIT 11-22

WSS FUTURE WAREHOUSE SPACE NEEDS [a/]

| DATES | SQUARE FEET |
|---|---|
| 08/01/92 - 8/31/93 | 2,876 |
| 09/01/93 - 08/31/95 | 5,304 |
| 09/01/95 - 08/31/97 | 5,421 |

[a/] As projected by Windham

- We found that the minimal requirements of Windham in relationship to the total warehousing capacity and needs of TDCJ suggest that consolidation should be thoroughly examined. Operation of a separate unit should be based on an assumption that the self-contained unit can meet facility needs faster or more efficiently. While we found that the current warehouse operation has a consistent turnaround time record between receipt of items and delivery to units, we also found that open market purchase demands are increased because of inventory shortages within the Windham unit.

### *11.8.3 Recommendations*

- Full consideration should be given to consolidating the warehouse function within TDCJ-ID in order to maximize the benefits of large central/regional warehouses serving multiple divisions within the department.

- Interim measures should be adopted and devised to maximize existing space.
    - The procedures for direct delivery of goods to units on open market purchases should be expanded.
    - The unit should adopt a system of more aggressive shelf life monitoring including a quarterly review of inventory.
    - Full consideration should be given to strategies for increasing unit-based storage, especially in new facilities.

### 11.8.4 Financial Impact

- Consolidation of the warehousing function of WSS within TDCJ-ID could yield a reduction in warehousing and shipping staff of one full-time position at a cost of $14,964, contingent upon the department's feasibility study as proposed in chapter 5.
- The establishment of regional warehouses within TDCJ-ID should reduce transportation costs on items purchased through open market.
- Expansion of "direct delivery" procedures for items purchased through the open market should yield a savings in transportation costs.

### 11.8.5 Implementation Strategies

- The deputy superintendent should review the TDCJ-ID Warehouse Task Force report and determine what steps are required for WSS to support consolidation of the warehouse function. A formal position should be advanced to the TDCJ-ID director in support of the proposal within 60 days.
- The deputy superintendent should direct regional administrators to conduct a review of stock inventory to determine what items and materials necessary for routine class operations are not being maintained in adequate supply. The Warehouse supervisor should then be directed to add those items to stock lists as a replacement for least used items in the current inventory.

## 11.9 Safety and Security

This section describes the extent to which WSS units maintain and adhere to a set of standard policies and procedures which enhance the controlled and orderly operation of prison facilities.

### 11.9.1 Current Situation

All public correctional units are under the control and authority of the TDCJ-ID. By state statute, the Division establishes correctional institutions and delegates to the unit's warden the appropriate authority and responsibility to manage the unit safely and securely. Included under the warden's responsibility are the physical plant, all assigned personnel, and the inmate population. The warden is also responsible for the implementation of the unit's inmate program activities consistent with TDCJ's mission and goals.

In most units the warden has delegated responsibilities to an assistant warden who is charged with communicating on a day-to-day basis with the principal and other department heads. It is the assistant warden's duty to keep the warden informed of school operations, and to provide necessary support and problem solving assistance to the principal.

### *11.9.2 Findings*

- We found three distinct lines of reporting which define the relationship between the warden and the principal.
  - In most institutions, the principal operates as a department head reporting to the warden through the assistant warden.
  - A limited number of units maintain a system in which the principal is part of the executive management team reporting directly to the warden.
  - In one unit, the warden did not maintain an executive staff choosing to meet individually with key managers as problems and issues dictate.
- All units have assigned education officers to the school areas. Their primary function is to maintain custody and control of the inmate population. Functioning under the supervision of the principal, they are responsible for counts, inmate movement, access within the area, surveillance, and reporting of disciplinary problems. They are also required to conduct daily inspections for safety and sanitation deficiencies.
- We found that the number of inmate counts varied from 2-8 depending on the security level and local policies of the unit. In-class count time averaged approximately 15-20 minutes with minimal disruption apparent. Counts which were required prior to movement of the inmates to educational areas varied in both procedure and completion time. Where education and time in class was a stated priority of the warden and reenforced among security supervisors, there was evidence of more efficient count procedures, and swifter, more orderly movement of inmates.

- Each unit visited reported the existence of emergency plans and procedures, including a definition of the principal's function and role.

- Each unit is assigned a safety officer charged with conducting fire and emergency drills. All principals interviewed reported that they have fire drills. Some principals did not maintain copies of the emergency response plan in their office.

- During the audit visitations, two emergency incidents were observed. One incident involved a temporary, partial power failure. There was no evidence of a formal emergency response. In the second incident, which involved a disturbance within a housing unit, procedures were implemented quickly and in an orderly fashion. The school area was secured and inmates were required to remain in their classrooms for approximately 20 minutes. Full control of the institution was maintained with minimal disruption of activities.

- Within each institution the unit safety officer performs weekly checks to ensure compliance with safety rules. The officer coordinates with maintenance staff to correct deficiencies. Weekly inspection reports are filed with the assistant warden.

- Principals in all but one unit reported a high level of satisfaction with security staff assigned to the school.

### *11.9.3 Recommendations*

- TDCJ-ID regional staff should conduct semi-annual checks concerning the currency of emergency plans relating to educational units and staff, and should routinely audit the readiness of principals and civilian staff.

- Wardens should establish specific time standards for the completion of mid-day counts and inmate movement which impact the start-up of afternoon programs.

- The TDCJ-ID director should require that all unit wardens meet regularly with their executive staff and maintain documentation of meetings.

- In units where the principal is not a full member of the executive staff, wardens should include the principal in monthly meetings with the entire executive team and focus on educational issues and problems.

- The TDCJ-ID should initiate a special review of emergency plans for power failures at the CCA-Cleveland Unit to ensure that rules for stabilizing and containing inmate and employee movement are established and enforced.

### 11.9.4 Financial Impact

- The primary objective of the analysis in this area was to ensure the existence of appropriate security and safety procedures. National experience clearly documents that maintenance of and familiarity with emergency response plans and procedures at all staff levels will result in cost avoidances relating to disturbance response, injury prevention, and disaster management. No cost savings are projected.

### 11.9.5 Implementation Strategies

- The deputy superintendent should require that principals work with wardens to develop specific measurable guidelines for time requirements on the movement of inmates from housing/work areas to classroom activities. Based on those mutually accepted standards, the TDCJ-ID director should direct wardens to promulgate and monitor the guidelines.

- The TDCJ-ID director should require that WSS regional administrators meet semi-annually with TDCJ-ID regional staff to review facility emergency and plans and safety procedures. Subsequent to such reviews, the WSS regional administrators should hold a forum de-briefing for all assistant wardens and principals.

# 12.0 SUMMARY OF POTENTIAL COSTS AND SAVINGS FROM MGT RECOMMENDATIONS

# *12.0 SUMMARY OF POTENTIAL COSTS AND SAVINGS FROM MGT RECOMMENDATIONS*

## *12.1 Introduction*

In this final chapter, we present exhibits that summarize savings and costs associated with our recommendations. Almost all recommended savings relate to more effective and efficient management of personnel, facilities, and administrative processes. Based upon our experience, we believe that our cost savings estimates are conservative and easily achievable through strong management by central administration and support by the Board of Criminal Justice.

We have listed abbreviated versions of the wording of our recommendations in this chapter's exhibits to facilitate their display. The reader should refer to the pages cross-referenced with the abbreviated statements in the exhibits for a more complete presentation of the recommendations and their financial implications.

**We caution readers of this chapter that exhibits 12-1 through 12-4 include only those recommendations which have directly related costs or savings. Some of our most important recommendations which address improved management of resources are not included here. Accordingly, we urge the reader to also study the recommendations sections in chapters 5 through 11. In addition, Appendix G lists all of our recommendations, as abstracted from the text of the full report.**

## *12.2 Summary of Potential Public Unit Costs and Savings*

Based on the figures presented in exhibits 12-1 and 12-2 compared to the current budget, WSS could achieve a minimum of $145,308 in net savings if the implementation of all of our recommendations were begun in FY 94 (see exhibit 12-3). By FY 96, WSS could achieve net annual savings of approximately $1.2 million as seen in exhibit 12-3. In addition, through improvements in education program effectiveness, the TDCJ could avoid spending about $20.3 million in one-time capital expenditures and $8.7 million in annual operating expenditures by reducing recidivism 10% by FY 96.

We estimate that cumulative net savings will total approximately $2.2 million within three years as shown in exhibit 12-3.

## 12.3 Summary of Potential Private Unit Savings

For the private units, currently managed by Wackenhut and CCA, we have made recommendations in the preceding chapters that will result in costs savings from increased efficiencies. We have made no recommendations that will require spending additional amounts for educational programs at the private units.

Based on the figures presented in exhibit 12-4 and compared to their current budgets, the private units could achieve a minimum of $100,545 in annual savings beginning in FY 94 by implementing our recommendations. By FY 96, the private units can save $301,635 if they implement our recommendations for increasing class sizes.

## Exhibit 12-1
## Summary of SAVINGS AND COST AVOIDANCE From Increased Efficiencies at the Public Units

| Recommendations for Windham School System | Savings by Fiscal Year | | | Total 3-Year Savings | Cost Avoidance |
|---|---|---|---|---|---|
| | FY 94 | FY 95 | FY 96 | | |
| 1. Reduce recidivism by 10% by 1995-96 (pg. 5-24)<br>Annual operating cost avoidance beginning in FY 96<br>One-time capital cost avoidance | | | | $0 | <br>$8,700,000<br>$20,300,000 |
| 2. Consolidate academic, vocational, and postsecondary education programs reducing number of central office staff (pg. 6-29) | $137,500 | $137,500 | $137,500 | $412,500 | |
| 3. Reorganize district reducing central office division directors (pg. 6-29) | $110,000 | $110,000 | $110,000 | $330,000 | |
| 4. Eliminate four assistant regional administrators (pg. 6-29) | $198,000 | $198,000 | $198,000 | $594,000 | |
| 5. Reduce two instructional supervisors in each region (pg. 6-30) | $308,000 | $308,000 | $308,000 | $924,000 | |
| 6. Conduct on-site unit evaluations by exception rather than routinely (pg. 7-56) | $53,600 | $53,600 | $53,600 | $160,800 | |
| 7. Use increased average class sizes for budgeting for academic courses, including ESL & spec. educ. (pg. 8-19) | $1,186,667 | $2,373,334 | $3,560,000 | $7,120,001 | |
| 8. Use increased average class sizes for budgeting for vocational courses (pg. 8-19) | $211,667 | $423,334 | $635,000 | $1,270,001 | |
| 9. Diversify investment portfolio resulting in additional interest income (pg. 8-32) | $46,662 | $46,662 | $46,662 | $139,986 | |
| 10. Identify funds for overnight investment yielding $6,000/$150,000 (pg. 8-32) | $12,000 | $12,000 | $12,000 | $36,000 | |
| 11. Implement internal audit function (pg. 8-36) | $50,000 | $50,000 | $50,000 | $150,000 | |
| 12. Reduce amount of sick leave taken by WSS staff (pg. 9-17) | $300,000 | $300,000 | $300,000 | $900,000 | |
| 13. Reduce payments to substitute teachers through reduced teacher sick leave (pg. 9-17) | $68,280 | $68,280 | $68,280 | $204,840 | |
| 14. Increase productivity resulting in reduction of 1 purchasing position (pg. 11-41) | $21,900 | $21,900 | $21,900 | $65,700 | |
| 15. Consolidate warehousing function reducing shipping & warehousing staff (pg. 11-45) | $14,964 | $14,964 | $14,964 | $44,892 | |
| *TOTAL* | $2,719,240 | $4,117,574 | $5,515,906 | $12,352,720 | $29,000,000 |

## Exhibit 12-2
## Summary of the Costs of REINVESTMENTS TO IMPROVE PROGRAM EFFECTIVENESS at the Public Units

| Recommendations for Windham School System | Costs by Fiscal Year | | | Total 3-Year Costs |
|---|---|---|---|---|
| | FY 94 | FY 95 | FY 96 | |
| 1. Expand vocational education program (pg. 5-24) | $941,336 | $1,882,672 | $2,824,000 | $5,648,008 |
| 2. Develop implementation plan to integrate WSS functions with other TDCJ administrative and program operations (pg. 6-29) | $30,000 | | | $30,000 |
| 3. Provide board training by Education Service Center (pg. 6-29) | $1,000 | | | $1,000 |
| 4. Create a planning, budgeting and evaluation office (pg. 6-29) | $110,000 | $110,000 | $110,000 | $330,000 |
| 5. Implement internal audit function (pg. 8-36) | $49,550 | $49,550 | $49,550 | $148,650 |
| 6. Pay bonuses to teachers for unused sick leave (pg. 9-17) | $47,796 | $47,796 | $47,796 | $143,388 |
| 7. Increase WSS annual budget for staff development (pg. 9-37) | $50,000 | $50,000 | $50,000 | $150,000 |
| 8. Create information strategic plan linking technology planning to WSS business planning (pg. 10-37) | $107,500 | | | $107,500 |
| 9. Expand computer-assisted instruction (pg. 10-37) | $1,150,000 | $1,150,000 | $1,150,000 | $3,450,000 |
| 10. Purchase auto-indexing filming operation (pg. 10-37) | $40,000 | | | $40,000 |
| 11. Hire data administrator (pg. 10-37) | $45,000 | $45,000 | $45,000 | $135,000 |
| 12. Implement time accounting for staff timekeeping (pg. 10-37) | $750 | | | $750 |
| 13. Improve data processing facilities (pg. 10-37) | $1,000 | | | $1,000 |
| *TOTAL* | $2,573,932 | $3,335,018 | $4,276,346 | $10,185,296 |

## Exhibit 12-3

## Summary of Net Savings and Cost Avoidance Resulting from the the Implementation of MGT's Recommendations for Public Units

| | Savings and (Costs) by Fiscal Year | | | Total 3-Year Savings or Costs | Cost Avoidance |
|---|---|---|---|---|---|
| | FY 94 | FY 95 | FY 96 | | |
| Total Savings from Increased Efficiencies<br>(See Exhibit 12-1) | $2,719,240 | $4,117,574 | $5,515,906 | $12,352,720 | $29,000,000 |
| Total Cost of Reinvestments to Improve Program Effectiveness<br>(See Exhibit 12-2) | ($2,573,932) | ($3,335,018) | ($4,276,346) | ($10,185,296) | $0 |
| *Net Savings* | $145,308 | $782,556 | $1,239,560 | $2,167,424 | $29,000,000 |

## EXHIBIT 12-4

## SUMMARY OF THE SAVINGS FROM INCREASED EFFICIENCIES AT THE PRIVATE UNITS

| RECOMMENDATIONS FOR PRIVATE UNITS | SAVINGS BY FISCAL YEAR | | | TOTAL THREE-YEAR SAVINGS |
|---|---|---|---|---|
| | FY 94 | FY 95 | FY 96 | |
| Increase Average Class Size at the Wackenhut Kyle Unit (Page 8-19) | $ 52,145 | $ 52,145 | $ 52,145 | $156,435 |
| Increase Average Class Size at the CCA Venus Unit (Page 8-19) | $ 48,400 | $ 48,400 | $ 48,400 | $145,200 |
| TOTAL | $100,545 | $100,545 | $100,545 | $301,635 |

# APPENDIX A

# ON-SITE AUDIT INSTRUMENTS

UNIT: ____________________

## WINDHAM SCHOOL SYSTEM
## ON-SITE UNIT WORKSHEET

### SYSTEM: ADMINISTRATIVE AND OPERATIONAL SERVICES

A. Persons Interviewed at This Unit (List Names)

- Warden

  or

- Assistant Warden (Programs about 15 minutes) ____________________
- Security Chief (about 15 minutes) ____________________
- Principal (about 60 minutes) ____________________
- Classification Supervisor (about 15 minutes) ____________________
- Project Rio Coordinator (15 minutes) ____________________
- Industries Supervisor (15 minutes) ____________________
- Chaplain (15 minutes) ____________________
- Corrections Officers (10 minutes) ____________________

Others (Names and Titles)

- ____________________ ____________________
- ____________________ ____________________
- ____________________ ____________________
- ____________________ ____________________

B. Administration - Interview Warden

1. Ask Warden to describe place of education in unit's mission. Explore specific goals. Seek written materials.

UNIT: ____________________

2. Ask Warden/Assistant Warden to discuss relationship with Windham School System Central Office. Do they offer direction? Do they visit the unit?

3. To what extent do TDCJ officials prioritize education?

4. Is the principal a member of executive staff?

5. Does Warden get involved in the day-to-day operating issues at the school? Seek examples.

6. What changes should be made in the education programs and/or operations in your unit?

7. Do educational programs interfere with work assignments?

*Security - Interview Security Chief/Corrections Officers*

1. What are the key security issues/problems relating to the education program?

UNIT: ____________________

2. How often are inmates counted? What is the procedure? How does the inmate count affect the delivery of education?

3. Are there problems associated with inmate movement to and from class?

4. Are there inmate grievances on the education program? Number? Nature?

5. How many disciplinary reports have been filed relating to education in the last year? Nature? Obtain copy of summary data on disciplinary reports.

6. Is the school area inspected routinely (how often)? Does a checklist exist?

7. Do educational programs interfere with work assignments?

*Classification - Interview Classification Supervisor*

1. Do you use a risk/needs instrument to classify inmates? Obtain classification form. Review sample folders.

2. Does the assessment procedure include a consideration of the inmate's educational needs? (Document procedure)

UNIT: ____________________

3. Do classification supervisors and school counselors interact routinely on inmate progress? How is this interaction documented?

4. Is the principal a member of the classification committee?

5. Are all inmates with educational needs referred to school? Obtain documentation.

6. How are inmate educational referrals prioritized?

*Project Rio - Interview Coordinator*

1. What percent of the inmates receive Rio services? __________

2. What are the criteria for referral?

3. What are the linkages between Windham and RIO?

4. To what extent does the prison education program and skills training match the job market?

5. Are inmates in prison academic or vocational education more likely to get jobs? How can that fact be documented?

UNIT: ____________________

6. Are inmates completing school programs more likely to perform successfully on release? How can it be documented?

7. Describe the inmate tracking information base maintained by RIO?

8. What types of inmate follow-up do you offer ex-offenders who have completed RIO?

*__Industries - Interview Industries Supervisor__*

1. What industries does this unit have?

2. To what extent, if any, are industries, apprenticeship, academic programs and vocational education coordinated? (Seek specific examples. Visit shops identified. Examine technology.)

3. Do educational programs interfere with work assignments?

4. What changes, if any, would you recommend in the educational programs?

   - Types of programs

     ______________________________________________

     ______________________________________________

     ______________________________________________

UNIT: ______________

- Class schedules

- Other

*Chaplain*

1. What is your opinion of the educational program in your unit?

2. Are you on the inmate classification committee?

3. To what extent is education an institutional priority?

4. How effective do you think the education programs at this unit are?

5. Does the chaplain interact with school staff? How often? On what issues?

6. To what extent does school staff act on chaplain's recommendations? (Site examples)

UNIT: ____________________

7. What changes would you like to see in the educational programs at this unit?

8. What are your opinions of the school teachers and principals?

***Facilities Management - Interview Principal***

1. Describe the current educational facilities by completing the following table (do a walk through)

| Type of Space | [illegible] | [illegible] | [illegible] | Starting Time of Earliest Class in A.M. | Ending Time of Latest Class in Day | Approx. Sq. Ft. of Space | General Condition of Space@ | Number of Computers |
|---|---|---|---|---|---|---|---|---|
| Regular Class Rooms | | | | | | | | |
| Vocational Labs/Class Rooms | | | | | | | | |
| Offices | | N/A | N/A | N/A | N/A | | | |
| Library | | | | | | | | |
| Other | | | | | | | | |

@ Excellent (E), Good (G), Poor (P)

2. Does the school have adequate facilities?

   If "no", what additional facilities are needed?

3. What problems have you experienced over the last several years related to facilities?

UNIT: ____________________

4. Does a Windham School System have a long range facilities plan?

   If "yes", does the plan:

   a. include

      - enrollment projections for at least 5 years ___ Yes ___ No
      - capacity measures of current facilities? ___ Yes ___ No
      - utilization rates of current facilities? ___ Yes ___ No
      - provisions for meeting educational program requirements? ___ Yes ___ No

   b. identify specific future educational space needs at each unit?

   c. identify a specific time schedule for meeting the educational facility needs of each unit?

5. Could we have a copy of facilities plan for your school?

6. Is the WSS facilities plan reviewed, evaluated and revised on a periodic basis? By whom?

7. Do facilities design plans include energy conservation measures as well as maintenance and custodial requirements?

8. How does the WSS's gross square feet (GSF) per student compare to national standards for corrections?

*__Facilities Operations and Maintenance - Interview Principal__*

1. Does your school have adequate custodial service?

UNIT: ____________________

2. To what extent are inmates used to clean and maintain educational facilities? Does it vary by security level?

3. How are facility and equipment maintenance services provided for the school? Explain.

4. Observe and comment on adequacy of facility and equipment maintenance.

5. Does the school have the necessary resources (e.g., supplies, tools, and equipment) for the proper care and cleaning of the school facility? Are the resources used efficiently and economically?

6. What problems has the school experienced in obtaining quick response to facility and equipment maintenance needs? What is an average response time?

   From within own unit? ____________

   From WSS central office? ____________

7. Are inventory records and reports maintained, including a complete inventory of supplies, materials, tools, and equipment? Ask to see copies of inventory lists.

8. Has an energy conservation program been developed and implemented at the unit? Are energy conservation measures evaluated regularly in terms of costs and benefits?

UNIT: ____________________

***Fixed Asset Inventory - Interview Asst. Warden or Industries Supv.***

1. Does a requisition and inventory control system with stock records exist to indicate quantities on hand, received, issued, and disposed?

2. Is a warehousing or storage area maintained for stock items? Where?

3. Are effective procedures used to dispose of non-reusable materials and equipment disposed of?

4. What happens to obsolete and surplus material and equipment?

5. How are inventories safeguarded?

6. Using the computer print-out of equipment for this school, verify the existence of each checked (√) item and provide the following information.

   Number items checked ____
   Number of checked items found _____

7. Randomly choose 15 equipment/furniture items and verify their listing on the inventory sheet.

   Number items selected __15__
   Number of the 15 items on list _____

**Return this worksheet with your summary of findings and issues to your Team Leader.**

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UNIT: ______________________

## WINDHAM SCHOOL SYSTEM
## ON-SITE UNIT WORKSHEET

### SYSTEM: SCHOOL AND PERSONNEL MANAGEMENT

**A.** Persons Interviewed at This Unit **(List Names and Titles)**

(NOTE: For the school and personnel management system, at a minimum, the principal, counselor(s), and a random sample of three teachers should be interviewed.)

- Principal ______________________
- Counselor(s) ______________________

  ______________________
- Teachers (Allow about 10-15 minutes per teacher interview)

  ______________________ ______________________

  ______________________ ______________________

  ______________________ ______________________

  ______________________ ______________________

  ______________________ ______________________
- Others (Please list and provide titles)

  ______________________ ______________________

  ______________________ ______________________

  ______________________ ______________________

  ______________________ ______________________

  ______________________ ______________________

**B.** School Management

**DIRECTIONS: Items #1-9 are for your interview with the principal; Item 10 is for your interviews with the principal, counselor(s), and teachers.**

1. a. Ask the principal to comment on the services provided to the unit by the:

   - regional administrator

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UNIT: ____________________

- assistant regional administrator

- instructional supervisors (list titles)
  - ____________________
  - ____________________
  - ____________________

- other district staff (list titles)
  - ____________________
  - ____________________
  - ____________________

b. Approximately how many times per year are the above administrators on-site at the unit?

2. Ask the principal to comment on the effectiveness and efficiency of the services provided to the unit by the following: (Ask for examples)

- superintendent

- deputy superintendent

- WSS School Board (Board of Criminal Justice)

3. a. Review the copy of the WSS Policy and Procedure Manual which is available on-site. Determine if it is up-to-date. Describe findings.

UNIT: ____________________

b. Assess the extent to which the principal uses the manual. Is the principal knowledgeable about School Board policies and administrative procedures? Describe findings.

4. Ask the principal to assess the extent to which the frequent turnover of principals in WSS has hindered or enhanced the following: (Describe findings.)

   - instructional programs

   - the ability of the principal to perform as both an instructional leader and school manager

   - the ability to build and maintain positive staff relations

5. Review the campus improvement plan -- Ask the principal to assess the extent to which the 1991-92 goals/objectives in the plan have been achieved. Describe findings.

6. a. Describe the relationship between the warden and the principal.

   b. Does the principal perceive that the educational program is a priority of the prison unit?

   c. Does the principal serve on the classification committee? Why or why not?

7. Who or what drives the educational priorities at this unit the most? (e.g., warden, WSS central office, principal etc.)

UNIT: ____________________

8. To what extent does the type of industry at this unit (e.g., farming) dictate the type of educational programs offered?

9. In which areas are your biggest management problems and concerns?

10. Through interviews with teachers and the principal, assess the principal's performance as both an instructional leader and building administrator. Describe findings.

Principal:

Teacher #1:

Teacher #2:

Teacher #3:

UNIT: ______________

## C. *Personnel Management*

**DIRECTIONS: Items 1-6 are for the interview with the principal, Item 7 is for teachers, and Item 8 is for the principal, counselor(s), and teachers.**

1. a. (Principal) To what extent does the principal have a voice in hiring faculty and staff (always, sometimes, never)?

   b. (Principal) Can and do transfers of faculty between units occur without the principal's approval?

2. (Principal) What has been the turnover rate of personnel at this unit since July 1991?

   Principal ____________

   Teachers ____________

   Counselors ____________

3. (Principal) How many teachers has the principal terminated during the past three years?

   ____________

4. (Principal) Describe the process that the principal follows in terminating a poor performance teacher.

5. (Principal) What changes in personnel policies and procedures would improve the effectiveness and efficiency of your educational program?

6. (Principal) What is the average weekly workload of

   a. *Academic Teachers?*

   # of classes per week ____________

   # of hours per week in classroom ____________

UNIT: __________________

Average class enrollment __________

b. *Pre-Release Teachers*?

# of classes per week __________

# of hours per week in classroom __________

Average class enrollment __________

c. Vocational Teachers?

# of classes per week __________

# of hours per week in classroom __________

Average class enrollment __________

7. What impact do the following variables have on your ability to deliver a quality education?

a. number of different class preparations

Teacher #1:

Teacher #2:

Teacher #3:

b. number of student/inmates per class

Teacher #1:

Teacher #2:

Teacher #3:

UNIT: ____________________

c. number of classes per day

Teacher #1:

Teacher #2:

Teacher #3:

d. stability of student population

Teacher #1:

Teacher #2:

Teacher #3:

8a. Ask the principal, counselor(s), and teachers to comment on qualifications of personnel (including certification).

Principal:

Counselor:

Teacher #1:

UNIT: ____________________

Teacher #2:

Teacher #3:

8b. Ask the principal, counselor(s), and teachers to comment on employment practices and promotional opportunities.

Principal:

Counselor:

Teacher #1:

Teacher #2:

Teacher #3:

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UNIT: ____________________

8c. Ask the principal, counselor(s), and teachers to comment on staff development opportunities.

Principal:

Counselor:

Teacher #1:

Teacher #2:

Teacher #3:

8d. Ask the principal, counselor(s), and teachers to comment on the WSS performance appraisal system.

Principal:

Counselor:

Teacher #1:

UNIT: ____________________

Teacher #2:

Teacher #3:

8e. Ask the principal, counselor(s), and teachers to comment on the salary and benefits provided in the WSS.

Principal:

Counselor:

Teacher #1:

Teacher #2:

Teacher #3:

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UNIT: ____________________

8e. To what extent are the principal, counselor(s), and teachers pleased with faculty morale?

Principal:

Counselor:

Teacher #1:

Teacher #2:

Teacher #3:

9. What would you change in school and personnel management and why?

**Return this worksheet with your summary of findings and issues to your Team Leader.**

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UNIT: ______________________

# WINDHAM SCHOOL SYSTEM
# ON-SITE UNIT WORKSHEET

## *SYSTEM: EDUCATIONAL PROGRAMS*

A. Persons Interviewed at This Unit **(List Names and Titles)**

(NOTE: For the educational programs system, at a minimum, the principal, librarian, counselor(s), and a random sample of teachers and students (inmates) of specific educational programs as noted below should be interviewed.)

- Principal ______________________
- Librarian ______________________
- Counselor(s) ______________________

  ______________________
- Educational Diagnostician or School Psychologist ______________________
- Teachers

  ______________________ Academic (Course: ________)

  ______________________ Vocational (Course: ________)

  ______________________ Special Education ________

  ______________________ ESL ________

  ______________________ Chapter I ________

  ______________________ Pre-Release ________
- Others (Please list and provide titles)

  ______________________ ______________________

  ______________________ ______________________

  ______________________ ______________________

UNIT: ____________________

## B. *Questions for the Principal*

1. What educational programs are offered by your school? Obtain list.

2. What are the approximate enrollments in each program?

3. What is the principal's role in determining which academic and vocational programs are offered by the unit?

4. What is the relation (if any) of the unit's apprenticeship, vocational (education) programs and its industry (inmate work) programs?

5. What information does the principal receive from the following sources to help him/her assess the efficiency and effectiveness of the educational programs in this unit:

    a. unit (internal) sources?

    b. regional administration sources?

    c. district administration (or corporate) sources?

6. To what extent are substitute teachers and part-time professionals used and how effective are they?

7. Do work assignments interfere with inmate participation in educational programs?

UNIT: ____________________

8. What are the most exemplary educational programs or practices:

   a. at this particular unit? (NOTE: Include observations of these in your visit.)

   b. throughout the system (or corporation)?

9. What are the weakest links in the educational delivery system:

   a. at this particular unit? (NOTE: Include observations of these in your visit.)

   b. throughout the system (or corporation)?

10. Do you believe your school is serving the right students? Explain.

11. Do you believe your school is providing the most effective set of educational programs? Explain.

12. What program changes would you like to see? (Additions, deletions, and modification.)

13. What are your greatest problems in trying to provide effective educational programs?

14. Do you have adequate equipment for your educational programs?

UNIT: ____________________

15. How does your vocational equipment compare to the state of the art used in free world industry? to prison industry equipment?

16. What changes would you like to see in the educational programs and operations?

## C. *Questions for the Librarian*

1. To what extent is the library an integral component of the student's educational program?

2. **[Obtain From Private Units Only]**

   a. Total number of library books in collection for current year and prior five years (if available).

   b. Total number of different periodicals in library collection for current year and prior five years (if available).

   c. Number of library books per inmate (on a given date) for current year and prior five years (if available).

UNIT: ____________________

## D. *Questions for Counselor(s)*

1. Do you believe the school is serving the right students? Explain.

2. Do you believe the school is offering the right educational programs? Explain.

3. Identify the major activities that the counselor(s) are involved with and have the counselor(s) estimate the percentage of his/her time devoted to these activities.

| | ACTIVITY | % OF TIME |
|---|---|---|
| *Counselor #1* | Individual Counseling | |
| | Group Counseling | |
| | Testing | |
| | Paperwork/Recordkeeping | |
| | Serving as Assistant Principal | |
| | Other (Please list) | |
| | | |
| *Counselor #2* | Individual Counseling | |
| | Group Counseling | |
| | Testing | |
| | Paperwork/Recordkeeping | |
| | Serving as Assistant Principal | |
| | Other (Please list) | |
| | | |

4. What types of feedback and how frequently (on a monthly basis) is feedback given to individual students on their progress in each of the following programs?

   a. Academic

   b. Vocational

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UNIT: ____________________

c. Special Education

d. ESL

e. Chapter I

f. Pre-Release

5. Identify the major strengths and weaknesses of counseling and other student services at this unit.

| | STRENGTHS | WEAKNESSES |
|---|---|---|
| *Counselor #1* | | |
| *Counselor #2* | | |

6. How many inmates do you counsel in a typical week?

7. What changes would you like to see in the educational programs in your school?

UNIT: ____________________

## E. *Questions for Educational Diagnostician or School Psychologist*

1. Identify the major activities that this individual is involved with and have him/her estimate the percentage of time devoted to these activities.

| ACTIVITY | % OF TIME |
|---|---|
| | |
| | |
| | |
| | |
| | |

2. Identify the major strengths and weaknesses of special education programs in this unit.

   a. Strengths

   b. Weaknesses

3. What changes would you like to see in the educational programs in your school?

4. Are you on the classification committee?

5. What role do you play in getting inmates assigned to appropriate education programs?

6. Do all inmates in need of special education services receive these services? Explain.

UNIT: ____________________

F. *Questions for Teachers and Observations in Specific Educational Programs*

1. Assess the general educational environment (i.e., classroom conditions, supplies, equipment and computers ) in classrooms visited for each of the following programs:

   a. Academic Classroom (Specify Course: ____________________)

   b. Vocational Class/Lab (Specify Course: ____________________)

   c. Special Education Class

   d. ESL Class

   e. Chapter I Class (if at unit)

   f. Pre-Release Class

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UNIT: ______________________

2. Ask to see the curriculum guides and instructional materials including CAI hardware and software used by each teacher. Obtain their assessment of these items and give your opinion of their appropriateness.

| | TEACHER'S ASSESSMENT | MY ASSESSMENT |
|---|---|---|
| a. Academic Classroom<br>(Course: ___________) | | |
| b. Vocational Lab/Class<br>(Course: ___________) | | |
| c. Special Education Class | | |
| d. ESL Class | | |
| e. Chapter I Class<br>(if at unit) | | |
| f. Pre-Release Class | | |

UNIT: ____________________

3. Ask each teacher to identify the information that they use to determine the efficiency and effectiveness of the courses they teach.

| | |
|---|---|
| a. Academic Classroom (Course: ____________) | |
| b. Vocational Lab/Class (Course: ____________) | |
| c. Special Education Class | |
| d. ESL Class | |
| e. Chapter I Class (if at unit) | |
| f. Pre-Release Class | |

UNIT: ____________________

4. Ask the teacher to identify the major strengths and weaknesses of the educational delivery system at this unit.

| | STRENGTHS | WEAKNESSES |
|---|---|---|
| a. Academic Classroom<br>(Course: ____________) | | |
| b. Vocational Lab/Class<br>(Course: ____________) | | |
| c. Special Education Class | | |
| d. ESL Class | | |
| e. Chapter I Class<br>(if at unit) | | |
| f. Pre-Release Class | | |

UNIT: ____________________

5. Ask a random sample of three students in each class what they like best and what they like least about the education opportunities and delivery system at this unit.

| | LIKES | DISLIKES |
|---|---|---|
| a. Academic Classroom (Course: __________) | 1. | 1. |
| | 2. | 2. |
| | 3. | 3. |
| b. Vocational Lab/Class (Course: __________) | 1. | 1. |
| | 2. | 2. |
| | 3. | 3. |
| c. Special Education Class | 1. | 1. |
| | 2. | 2. |
| | 3. | 3. |
| d. ESL Class | 1. | 1. |
| | 2. | 2. |
| | 3. | 3. |
| e. Chapter I Class (if at unit) | 1. | 1. |
| | 2. | 2. |
| | 3. | 3. |
| f. Pre-Release Class | 1. | 1. |
| | 2. | 2. |
| | 3. | 3. |

**Return this worksheet with your summary of findings and issues to your Team Leader.**

UNIT: ____________________

## WINDHAM SCHOOL SYSTEM
## ON-SITE UNIT WORKSHEET

***SYSTEM: FINANCIAL MANAGEMENT***

A. *Persons Interviewed at This Unit* (List Names and Titles)

- Principal ____________________
- Others

____________________ ____________________

____________________ ____________________

____________________ ____________________

____________________ ____________________

____________________ ____________________

B. *Questions for Principal*

***Planning and Budgeting:***

1. Describe the school's current planning process.

2. Do you have a multi-year planning document for your school? Could we have a copy? (If there is no multi-year planning document exists at the unit level, would a multi-year planning document for your unit help you manage the unit more effectively?) Is it possible for you to plan three to five years out?

3. Is the planning document linked to the budget? Explain.

UNIT: ____________________

4. Is an organized needs assessment conducted to determine the educational needs of your school? By whom. How often? What is the basis for determining need? What were the results? Describe findings. Obtain copy of latest needs assessment, if available.

5. Have specific educational goals been established? Obtain copy, if available.

6. What is the role of the warden in determining educational budget priorities?

7. Obtain a copy of the school's 1991-92 budget.

8. Does the current budget allocation formula treat all schools equitably? Explain.

9. Are enrollments for budgeting purposes audited? by whom? how often? Obtain a copy of the latest enrollment audit report, if available.

10. Are budgets allocations linked to the achievement of the educational goals? Describe findings.

UNIT: ____________________

11. Are the educational objectives of the unit stated in measurable terms? Describe findings.

12. Are unit-based personnel involved in budget development and administration? Describe findings.

13. Describe the current budget amendment process.

14. Have the WSS forecasts of the numbers of students for your unit and programs been accurate? Describe findings.

15. How is the planning process linked with the budgeting process? What activities are done at the unit level to ensure that there is consistency between what is planned and what is budgeted?

*Internal and External Auditing*

1. Is your unit periodically audited by either internal or external auditors? How often? By whom? Areas audited? Obtain a copy of one or more recent audits.

UNIT: ____________________

2. In what ways have self-audits resulted in improvements in system and unit operations? Describe findings.

3. Which of the following functions in your school have been examined by an auditor within the last two years:

   a. compliance with federal and state statutes and regulations (e.g., special education, vocational education)? by whom?

   b. internal accounts? by whom?

   c. supplies? by whom?

   d. equipment? by whom?

   e. average daily attendance? by whom?

   f. other areas? (Please list)

4. What special problems or concerns have been identified by the auditor(s)? Could we have copies of audit management letters and written responses? Describe findings.

UNIT: ____________________

5. How have the identified problems been handled? Describe findings. Obtain proof where possible.

6. What areas within WSS or the department did you feel would benefit from periodic audits by independent auditors?

**Return this worksheet with your summary of findings and issues to your Team Leader.**

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UNIT: ____________________

## WINDHAM SCHOOL SYSTEM
## ON-SITE UNIT WORKSHEET

### *SYSTEM: MANAGEMENT INFORMATION SYSTEMS*

*A.* *Persons Interviewed at This Unit* (List Names and Titles)

- Principal ____________________

- Others

*B.* *Questions for Principal*

***Adequacy of Current Information:***

- Do you feel that you receive all the information you need to successfully execute your responsibilities?

  What type of information is missing?

- Which activities could be most improved by more timely information?

UNIT: ______________________

- What information is most costly for you to obtain?

*Known or Anticipated Information Problems:*

- Are there problems with the timeliness of the information you receive in supporting your decision-making processes?

- Do you receive too much information in the form of cumbersome computer printouts versus exception reporting?

- Do you receive the same information from different sources? Is it consistent in terms of data value and timing?

UNIT: ____________________

- Are there work flow bottlenecks resulting from lack of timely information, or information flow problems?

*Additional Information Requirements:*

- Do you have any additional requirements that we have not discussed?

*Contribution and Value of Improved Information:*

- With better information systems support, are there opportunities for tangible cost reductions? In what areas? How much?

- What improvements could you foresee in improving management decision-making?

UNIT: ____________________

- What improvements could you foresee in using information for improving management decision-making?

- Could better information systems support provide for a better coordination of functions or elimination of duplicate effort? In what areas?

- What opportunities do you see to avoid "re-inventing the wheel" in other areas through improved information systems?

- Are there opportunities to improve the educational service level through additional or improved information systems?

**Return this worksheet with your summary of findings and issues to your Team Leader.**

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# WINDHAM SCHOOL SYSTEM (WSS)
# UNIT SUMMARY FORM *

**UNIT:** ____________________ **SYSTEM BEING AUDITED:** ____________________

**DATE:** ____________________ **TEAM MEMBER:** ____________________

## A. LIST OF PERSONS INTERVIEWED AT THIS UNIT:

* At the end of each unit visit, each audit team member should complete this brief summary of on-site unit findings and issues for the system they are auditing and submit this summary to the Team Leader. Team Leaders will compile these for each unit the team is assigned.

UNIT: ________________

B. UNIT FINDINGS:

UNIT: ____________

C. UNIT ISSUES:

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# APPENDIX B

# WARDEN, PRINCIPAL, AND PROFESSIONAL STAFF SURVEYS

[Survey response rate is 97%]

# MANAGEMENT AND PERFORMANCE REVIEW OF THE WINDHAM SCHOOL SYSTEM (WSS)

## WARDEN SURVEY RESPONSE PERCENTAGES
## (n=34)

**PART A:**

1. I think the overall quality of education in the WSS is:

| | |
|---|---|
| Excellent | 32% |
| Good | 53% |
| Fair | 15% |
| Poor | 0% |

2. I think the overall quality of education in WSS is:

| | |
|---|---|
| Improving | 71% |
| Staying the Same | 26% |
| Getting Worse | 3% |

Students are often given the grades A, B, C, D and F to denote the quality of their work. Suppose the teachers and administrators were graded the same way.

3. In general, what grade would you give the WSS teachers?

| | |
|---|---|
| A | 35% |
| B | 50% |
| C | 9% |
| D | 0% |
| F | 0% |
| Don't Know | 3% |
| No Response | 3% |

4. In general, what grade would you give the principals in WSS?

| | |
|---|---|
| A | 53% |
| B | 35% |
| C | 9% |
| D | 3% |
| F | 0% |

5. In general, what grade would you give the central administrators in WSS?

| | |
|---|---|
| A | 32% |
| B | 41% |
| C | 12% |
| D | 9% |
| F | 0% |
| Don't Know | 3% |
| No Response | 3% |

6. How long have you been a warden in WSS?

| | |
|---|---|
| Less than 1 year | 3% |
| 1-5 years | 20% |
| 6-10 years | 59% |
| 11-15 years | 6% |
| 16 or more years | 12% |
| Mean | 8.2 |

7. How long have you worked in the unit where you are currently employed?

| | |
|---|---|
| Less than 1 year | 6% |
| 1-5 years | 53% |
| 6-10 years | 15% |
| 11-15 years | 9% |
| 16 or more years | 3% |
| No Response | 15% |
| Mean | 4.6 |

8. I am:

| | |
|---|---|
| White | 76% |
| Hispanic | 12% |
| Black | 12% |

9. In what type of unit are you warden? (Check all that apply)

| | |
|---|---|
| Minimum Security | 47% |
| Medium Security | 24% |
| Maximum Security | 47% |
| Close Custody | 21% |

10. I am a:

| | |
|---|---|
| Female | 12% |
| Male | 88% |

**PART B:**

DIRECTIONS: Please indicate whether you strongly agree (SA), agree (A), neither agree or disagree (N), disagree (D), or strongly disagree (SD) with each statement. Please circle the appropriate response (SA, A, N, D, SD) located to the right of each item. If you feel you do not have enough information to give an opinion, circle the don't know (DK) response.

| | | SA | A | N | D | SD | DK |
|---|---|---|---|---|---|---|---|
| 1. | In general, space and facilities in WSS are sufficient to support the instructional programs. | 18% | 53% | 3% | 24% | 3% | 0% |
| 2. | This unit has most materials and supplies necessary for instruction. | 32% | 62% | 3% | 3% | 0% | 0% |
| 3. | There is administrative support for controlling student behavior in this unit. | 59% | 38% | 0% | 0% | 3% | 0% |
| 4. | The emphasis on learning in WSS has increased in recent years. | 35% | 44% | 12% | 6% | 3% | 0% |
| 5. | Most students/inmates are motivated to learn. | 3% | 29% | 32% | 21% | 15% | 0% |
| 6. | Lessons are individualized to meet student/inmate needs. | 15% | 53% | 12% | 15% | 0% | 6% |
| 7. | The curriculum is broad and challenging for most students/inmates. | 9% | 47% | 29% | 9% | 0% | 6% |
| 8. | The academic offerings at your unit are reflective of the current job market. | 6% | 44% | 24% | 12% | 0% | 15% |
| 9. | The vocational offerings at your unit are reflective of the current job market. | 24% | 50% | 12% | 12% | 0% | 3% |
| 10. | Inmates are trained through educational programs in prison to obtain jobs upon release. | 6% | 62% | 12% | 21% | 0% | 0% |
| 11. | Inmates are able to find jobs in the areas for which they have received academic/vocational training in prison. | 3% | 18% | 38% | 21% | 0% | 21% |
| 12. | Education can break the crime cycle. | 15% | 32% | 21% | 32% | 0% | 0% |
| 13. | Education helps reduce the desire of inmates to commit crimes. | 3% | 26% | 26% | 32% | 3% | 9% |
| 14. | There is little a teacher can do to overcome education problems due to an inmate's past experience. | 6% | 15% | 6% | 53% | 21% | 0% |
| 15. | Teachers in this unit know the material they teach. | 27% | 62% | 3% | 3% | 0% | 6% |
| 16. | Teachers in this unit care about student/inmate needs. | 27% | 59% | 15% | 0% | 0% | 0% |
| 17. | Teachers expect students to do their best. | 21% | 71% | 9% | 0% | 0% | 0% |
| 18. | Public tax dollars are being used wisely to support education in WSS. | 15% | 47% | 12% | 24% | 0% | 3% |
| 19. | The people of Texas support inmate education. | 9% | 32% | 26% | 21% | 3% | 9% |
| 20. | Sufficient opportunities are provided in WSS for student services (e.g., counseling, speech therapy, health). | 24% | 50% | 12% | 12% | 0% | 3% |
| 21. | The educational programs adequately provide the socialization which is needed to prepare inmates for a life of legitimate work. | 12% | 21% | 26% | 29% | 0% | 12% |
| 22. | The following are essential to a successful corrections education program: | | | | | | |
| | Basic skills education | 47% | 53% | 0% | 0% | 0% | 0% |
| | Vocational education | 38% | 59% | 0% | 0% | 0% | 3% |
| | Socialization skills education | 41% | 47% | 9% | 0% | 0% | 3% |
| 23. | Inmates should be given reduced custody for participating in education programs. | 3% | 6% | 6% | 47% | 38% | 0% |

**PART C:**

**DIRECTIONS:** We would like your opinion about the educational environment in the Windham School System. For each item, please indicate whether you feel WSS is excellent (E), good (G), fair (F), or good (G). Please circle the appropriate response (E, G, F, P) located to the right of each item. If you feel you do not have enough information to give an opinion, circle the don't know (DK) response.

| | | E | G | F | P | DK | Mean |
|---|---|---|---|---|---|---|---|
| 1. | The Board of Criminal Justices' knowledge of the educational needs of inmates. | 18% | 24% | 38% | 6% | 15% | 2.6 |
| 2. | The Board of Criminal Justices' knowledge of the operations of the WSS. | 18% | 27% | 32% | 6% | 18% | 2.7 |
| 3. | Windham School Board members' work at setting or revising policies for the WSS. | 12% | 35% | 24% | 3% | 27% | 2.8 |
| 4. | The commitment of the TDCJ-ID for corrections education. | 41% | 50% | 9% | 0% | 0% | 3.3 |
| 5. | The commitment of the TEA for corrections education. | 18% | 35% | 15% | 0% | 32% | 3.0 |
| 6. | The WSS superintendent's work as the instructional leader of the WSS. | 21% | 44% | 29% | 0% | 6% | 2.9 |
| 7. | The WSS superintendent's work as the chief administrator (manager) of the WSS. | 24% | 53% | 21% | 0% | 3% | 3.0 |
| 8. | Principals' work as the instructional leaders of their units. | 50% | 38% | 12% | 0% | 0% | 3.4 |
| 9. | Principals' work as the managers of their staff and teachers. | 47% | 41% | 12% | 0% | 0% | 3.4 |
| 10. | Principals' work in communicating with security staff. | 53% | 27% | 15% | 6% | 0% | 3.3 |
| 11. | The feedback you provide to teachers in your school about their teaching performance. | 15% | 27% | 41% | 15% | 3% | 2.4 |
| 12. | Teachers' work in meeting student/inmate individual learning needs. | 18% | 59% | 15% | 6% | 3% | 2.9 |
| 13. | Teachers' work in communicating with security staff. | 15% | 50% | 27% | 9% | 0% | 2.7 |
| 14. | Teachers' attitudes about their jobs. | 24% | 62% | 9% | 6% | 0% | 3.0 |
| 15. | Student/inmate ability to learn. | 15% | 32% | 47% | 6% | 0% | 2.6 |
| 16. | Student/inmate school work. | 15% | 18% | 65% | 0% | 3% | 2.5 |
| 17. | The amount of time students are available for class. | 41% | 50% | 9% | 0% | 0% | 3.3 |
| 18. | The condition in which classrooms are kept. | 50% | 35% | 15% | 0% | 0% | 3.4 |
| 19. | The opportunities provided by the WSS to improve the skills of teachers. | 18% | 32% | 12% | 3% | 35% | 3.0 |
| 20. | The opportunities provided by the WSS to improve the skills of principals. | 15% | 35% | 12% | 3% | 35% | 3.0 |
| 21. | The WSS' commitment to making the WSS a better place in which to work. | 18% | 47% | 21% | 0% | 15% | 3.0 |

**PART D:**

1. Is there a direct line of communication between you and the principal that provides for communication and coordination?

| | |
|---|---|
| Yes | 100% |
| No | 0% |

**COMMENTS:**

| | |
|---|---|
| Open communications | 32% |
| Limited communications | 6% |
| No Response | 62% |

2. Is there a direct line of communication between your unit and the WSS central administration that provides for timely and efficient planning, management, and operation of your education program?

| | |
|---|---|
| Yes | 76% |
| No | 21% |
| No Response | 3% |

**COMMENTS:**

| | |
|---|---|
| Open communications | 9% |
| Limited communications | 30% |
| No Response | 62% |

3. Are the inmates who would benefit most from academic or vocational education programs provided by the WSS actually receiving these educational services?

| | |
|---|---|
| Yes | 82% |
| No | 15% |
| No Response | 3% |

**COMMENTS:**

| | |
|---|---|
| Too much so | 6% |
| Funds students who are not quality candidates | 6% |
| Try to help everyone | 6% |
| Other | 6% |
| No Response | 76% |

4. Using a 1-5 scale **(5 being the highest score)**, please rate the combined efficiency and effectiveness of each of the following district-wide services in the Windham School System (WSS).

| | Mean |
|---|---|
| Instructional Services | 3.9 |
| Maintenance Services | 3.6 |
| Custodial Services | 3.6 |
| Technical Management | 3.9 |
| Personnel Services | 3.8 |
| Inmate Tracking | 3.9 |
| Financial Services | 3.9 |
| Staff Development | 3.6 |
| Facilities | 3.7 |
| Purchasing | 3.8 |
| Planning and Budgeting | 3.6 |

5. What ideas do you have to improve the overall efficiency and effectiveness of the Windham School System? Please attach an additional page with comments, if needed.

**COMMENTS:**

| | |
|---|---|
| Not all inmates need education | 18% |
| Commend overall effort | 15% |
| Too much time spent on hard cases | 9% |
| Plan inmate program with student | 9% |
| Other | 14% |
| No Response | 53% |

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[Survey response rate is 89%]

# MANAGEMENT AND PERFORMANCE REVIEW OF THE WINDHAM SCHOOL SYSTEM (WSS)

## PRINCIPAL SURVEY RESPONSE PERCENTAGES
(n=31)

**PART A:**

1. I think the overall quality of education in the WSS is:

| | |
|---|---|
| Excellent | 68% |
| Good | 32% |
| Fair | 0% |
| Poor | 0% |
| No Response | 0% |

2. I think the overall quality of education in WSS is:

| | |
|---|---|
| Improving | 94% |
| Staying the Same | 6% |
| Getting Worse | 0% |
| Don't Know | 0% |

Students are often given the grades A, B, C, D and F to denote the quality of their work. Suppose the teachers and administrators were graded the same way.

3. In general, what grade would you give the WSS teachers?

| | |
|---|---|
| A | 52% |
| B | 48% |
| C | 0% |
| D | 0% |
| F | 0% |
| Don't Know | 0% |

4. In general, what grade would you give the principals in WSS?

| | |
|---|---|
| A | 45% |
| B | 48% |
| C | 3% |
| D | 0% |
| F | 0% |
| Don't Know | 0% |

5. In general, what grade would you give the central administrators in WSS?

| | |
|---|---|
| A | 45% |
| B | 36% |
| C | 19% |
| D | 0% |
| F | 0% |

6. How long have you been a principal in WSS?

| | |
|---|---|
| 1-5 years | 64% |
| 6-10 years | 16% |
| 11-15 years | 10% |
| 16 or more years | 6% |
| No Response | 3% |
| Mean | 5.4 |

7. How long have you worked as a certified professional in the WSS?

| | |
|---|---|
| 1-5 years | 32% |
| 6-10 years | 19% |
| 11-15 years | 32% |
| 16 or more years | 10% |
| No Response | 6% |
| Mean | 9.3 |

8. I am:

| | |
|---|---|
| White | 84% |
| Hispanic | 3% |
| Black | 10% |
| No Response | 3% |

9. In what type of unit are you employed? (Check all that apply)

| | |
|---|---|
| Minimum Security | 36% |
| Medium Security | 26% |
| Maximum Security | 42% |
| Close Custody | 6% |
| Other | 10% |

10. I am a:

| | |
|---|---|
| Female | 45% |
| Male | 52% |
| No Response | 3% |

**PART B:**

**DIRECTIONS:** Please indicate whether you strongly agree (SA), agree (A), neither agree or disagree (N), disagree (D), or strongly disagree (SD) with each statement. Please circle the appropriate response (SA, A, N, D, SD) located to the right of each item. If you feel you do not have enough information to give an opinion, circle the don't know (DK) response.

| | SA | A | N | D | SD | DK |
|---|---|---|---|---|---|---|
| 1. In general, space and facilities in WSS are sufficient to support the instructional programs. | 13% | 42% | 13% | 23% | 10% | 0% |
| 2. This unit has most materials and supplies necessary for instruction. | 45% | 52% | 3% | 0% | 0% | 0% |
| 3. There is administrative support for controlling student behavior in this unit. | 64% | 32% | 0% | 3% | 0% | 0% |
| 4. The emphasis on learning in WSS has increased in recent years. | 68% | 23% | 6% | 3% | 0% | 0% |
| 5. Most students/inmates are motivated to learn. | 3% | 71% | 6% | 13% | 6% | 0% |
| 6. Lessons are individualized to meet student/inmate needs. | 36% | 58% | 6% | 0% | 0% | 0% |
| 7. The curriculum is broad and challenging for most students/inmates. | 39% | 58% | 0% | 3% | 0% | 0% |
| 8. The academic offerings at your unit are reflective of the current job market. | 42% | 52% | 3% | 3% | 0% | 0% |
| 9. The vocational offerings at your unit are reflective of the current job market. | 32% | 58% | 3% | 3% | 3% | 0% |
| 10. Inmates are trained through educational programs in prison to obtain jobs upon release. | 42% | 52% | 3% | 3% | 0% | 0% |
| 11. Inmates are able to find jobs in the areas for which they have received academic/vocational training in prison. | 6% | 29% | 19% | 3% | 0% | 42% |
| 12. Education can break the crime cycle. | 71% | 23% | 3% | 0% | 0% | 3% |
| 13. Education helps reduce the desire of inmates to commit crimes. | 52% | 26% | 6% | 3% | 0% | 13% |
| 14. There is little a teacher can do to overcome education problems due to an inmate's past experience. | 0% | 0% | 3% | 19% | 77% | 0% |
| 15. Teachers in this unit know the material they teach. | 48% | 48% | 3% | 0% | 0% | 0% |
| 16. Teachers in this unit care about student/inmate needs. | 48% | 48% | 3% | 0% | 0% | 0% |
| 17. Teachers expect students to do their best. | 55% | 42% | 3% | 0% | 0% | 0% |
| 18. Public tax dollars are being used wisely to support education in WSS. | 48% | 45% | 3% | 3% | 0% | 0% |
| 19. The people of Texas support inmate education. | 3% | 32% | 26% | 6% | 3% | 29% |
| 20. Sufficient opportunities are provided in WSS for student services (e.g., counseling, speech therapy, health). | 36% | 52% | 3% | 6% | 0% | 3% |
| 21. The educational programs adequately provide the socialization which is needed to prepare inmates for a life of legitimate work. | 23% | 58% | 10% | 6% | 0% | 3% |
| 22. The following are essential to a successful corrections education program: | | | | | | |
| Basic skills education | 87% | 13% | 0% | 0% | 0% | 0% |
| Vocational education | 90% | 10% | 0% | 0% | 0% | 0% |
| Socialization skills education | 87% | 13% | 0% | 0% | 0% | 0% |
| 23. Inmates should be given reduced custody for participating in education programs. | 16% | 26% | 29% | 16% | 6% | 6% |

## PART C:

**DIRECTIONS:** We would like your opinion about the educational environment in the Windham School System. For each item, please indicate whether you feel WSS is excellent (E), good (G), fair (F), or poor (P). Please circle the appropriate response (E, G, F, P) located to the right of each item. If you feel you do not have enough information to give an opinion, circle the don't know (DK) response.

| | | E | G | F | P | DK | Mean |
|---|---|---|---|---|---|---|---|
| 1. | The Board of Criminal Justices' knowledge of the educational needs of inmates. | 23% | 32% | 23% | 10% | 13% | 2.8 |
| 2. | The Board of Criminal Justices' knowledge of the operations of the WSS. | 23% | 36% | 29% | 0% | 13% | 2.9 |
| 3. | Windham School Board members' work at setting or revising policies for the WSS. | 16% | 42% | 16% | 3% | 23% | 2.9 |
| 4. | The commitment of the TDCJ-ID for corrections education. | 29% | 52% | 16% | 3% | 0% | 3.1 |
| 5. | The commitment of the TEA for corrections education. | 23% | 52% | 13% | 10% | 3% | 2.9 |
| 6. | The WSS superintendent's work as the instructional leader of WSS. | 61% | 19% | 19% | 0% | 0% | 3.4 |
| 7. | The WSS superintendent's work as the chief administrator (manager) of this school system. | 64% | 19% | 16% | 0% | 0% | 3.5 |
| 8. | Principals' work as the instructional leaders of their units. | 52% | 32% | 16% | 0% | 0% | 3.4 |
| 9. | Principals' work as the managers of their staff and teachers. | 64% | 29% | 6% | 0% | 0% | 3.6 |
| 10. | Principals' work in communicating with security staff. | 61% | 29% | 10% | 0% | 0% | 3.5 |
| 11. | The feedback you provide to teachers in your school about their teaching performance. | 45% | 52% | 3% | 0% | 0% | 3.4 |
| 12. | Teachers' work in meeting student/inmate individual learning needs. | 55% | 39% | 6% | 0% | 0% | 3.5 |
| 13. | Teachers' work in communicating with security staff. | 39% | 39% | 23% | 0% | 0% | 3.2 |
| 14. | Teachers' attitudes about their jobs. | 48% | 39% | 13% | 0% | 0% | 3.4 |
| 15. | Student/inmate ability to learn. | 6% | 77% | 16% | 0% | 0% | 2.9 |
| 16. | Student/inmate school work. | 13% | 55% | 29% | 0% | 3% | 2.8 |
| 17. | The amount of time students are available for class. | 23% | 58% | 19% | 0% | 0% | 3.0 |
| 18. | The condition in which classrooms are kept. | 36% | 58% | 6% | 0% | 0% | 3.3 |
| 19. | The opportunities provided by the WSS to improve the skills of teachers. | 26% | 32% | 32% | 10% | 0% | 2.7 |
| 20. | The opportunities provided by the WSS to improve the skills of principals. | 29% | 29% | 32% | 10% | 0% | 2.8 |
| 21. | The WSS' commitment to making the WSS a better place in which to work. | 36% | 45% | 19% | 0% | 0% | 3.2 |

PART D:

1. Do you have a substantial voice in the hiring, termination, and evaluation of teachers in your unit?

| | |
|---|---|
| Yes | 87% |
| No | 10% |
| No Response | 3% |

**COMMENTS:**

| | |
|---|---|
| Hire yes - termination no | 16% |
| Principal must accept decision | 16% |
| Hiring practices too complex | 3% |
| No Response | 68% |

2. Is there a direct line of communication between you and the warden that provides for communication and coordination?

| | |
|---|---|
| Yes | 97% |
| No | 3% |

**COMMENTS:**

| | |
|---|---|
| Open communications | 32% |
| No Response | 68% |

3. Is there a direct line of communication between your unit and the WSS central administration that provides for timely and efficient planning, management, and operation of your education program?

| | |
|---|---|
| Yes | 97% |
| No | 0% |
| No Response | 3% |

**COMMENTS:**

| | |
|---|---|
| Open communications | 13% |
| Communications are limited | 10% |
| No Response | 77% |

4. Do you receive all information needed from the district office to manage the education program in your unit?

| | |
|---|---|
| Yes | 97% |
| No | 3% |

**COMMENTS:**

| | |
|---|---|
| Open communication | 6% |
| Limited communication | 10% |
| No Response | 84% |

5. Using a 1-5 scale (**5 being the highest score**), please rate the combined efficiency and effectiveness of each of the following district-wide services in the Windham School System (WSS).

| | Mean |
|---|---|
| Instructional Services | 4.0 |
| Maintenance Services | 3.9 |
| Custodial Services | 4.2 |
| Technical Management | 4.1 |
| Personnel Services | 4.1 |
| Inmate Tracking | 3.9 |
| Financial Services | 4.1 |
| Staff Development | 3.9 |
| Facilities | 3.9 |
| Purchasing | 3.9 |
| Planning and Budgeting | 4.0 |

6. What ideas do you have to improve the overall efficiency and effectiveness of the management of the Windham School System? Please attach an additional page with comments, if needed.

**COMMENTS:**

| | |
|---|---|
| Commend overall effort | 19% |
| Put superintendent administration in unit | 13% |
| Switch philosophy | 10% |
| Scrutinize curriculum department | 10% |
| Better communication between offices | 10% |
| Workshop access | 6% |
| Other | 30% |
| No Response | 48% |

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[Survey response rate is 70%]

# *MANAGEMENT AND PERFORMANCE REVIEW OF THE WINDHAM SCHOOL SYSTEM (WSS)*

## *PROFESSIONAL EDUCATION STAFF SURVEY RESPONSE PERCENTAGES*
## *(n=493)*

**PART A:**

1. I think the overall quality of education in the WSS is:

| | |
|---|---|
| Excellent | 40% |
| Good | 49% |
| Fair | 9% |
| Poor | 1% |
| Don't Know | 0% |
| No Response | 1% |

2. I think the overall quality of education in WSS is:

| | |
|---|---|
| Improving | 73% |
| Staying the Same | 17% |
| Getting Worse | 5% |
| Don't Know | 4% |
| No Response | 1% |

Students are often given the grades A, B, C, D and F to denote the quality of their work. Suppose the teachers and administrators were graded the same way.

3. In general, what grade would you give the WSS teachers?

| | |
|---|---|
| A | 54% |
| B | 36% |
| C | 6% |
| D | 1% |
| F | 0% |
| Don't Know | 2% |
| No Response | 1% |

4. In general, what grade would you give the principals in WSS?

| | |
|---|---|
| A | 42% |
| B | 37% |
| C | 12% |
| D | 5% |
| F | 1% |
| Don't Know | 2% |
| No Response | 1% |

5. In general, what grade would you give the central administrators in WSS?

| | |
|---|---|
| A | 21% |
| B | 34% |
| C | 24% |
| D | 11% |
| F | 4% |
| Don't Know | 5% |
| No Response | 1% |

6. I am a:

| | |
|---|---|
| Teacher | 84% |
| Counselor | 7% |
| Librarian | 2% |
| Spec. Educ. Assessment Professional | 2% |
| Supervisor | 2% |
| Other | 2% |

7. How long have you worked as a certified professional in the WSS?

| | |
|---|---|
| Less than 1 year | 2% |
| 1-5 years | 58% |
| 6-10 years | 20% |
| 11-15 years | 12% |
| 16 or more years | 6% |
| No Response | 1% |
| Mean | 6.1 |

8. I am:

| | |
|---|---|
| White | 88% |
| Hispanic | 1% |
| Black | 7% |
| Other | 2% |
| No Response | 2% |

9. In what type of unit are you employed? (Check all that apply)

| | |
|---|---|
| Minimum Security | 35% |
| Medium Security | 31% |
| Maximum Security | 44% |
| Close Custody | 4% |
| Psychiatric Unit | 2% |

10. I am a:

| | |
|---|---|
| Female | 44% |
| Male | 54% |
| No Response | 2% |

PART B:

**DIRECTIONS: Please indicate whether you strongly agree (SA), agree (A), neither agree or disagree (N), disagree (D), or strongly disagree (SD) with each statement. Please circle the appropriate response (SA, A, N, D, SD) located to the right of each item. If you feel you do not have enough information to give an opinion, circle the don't know (DK) response.**

| | SA | A | N | D | SD | DK |
|---|---|---|---|---|---|---|
| 1. In general, space and facilities in WSS are sufficient to support the instructional programs. | 16% | 46% | 5% | 19% | 12% | 2% |
| 2. This unit has most materials and supplies necessary for instruction. | 22% | 57% | 6% | 10% | 4% | 1% |
| 3. There is administrative support for controlling student behavior in this unit. | 34% | 42% | 8% | 6% | 8% | 2% |
| 4. The emphasis on learning in WSS has increased in recent years. | 32% | 39% | 8% | 6% | 4% | 11% |
| 5. Most students/inmates are motivated to learn. | 7% | 44% | 21% | 17% | 9% | 2% |
| 6. Lessons are individualized to meet student/inmate needs. | 26% | 57% | 8% | 6% | 1% | 2% |
| 7. The curriculum is broad and challenging for most students/inmates. | 22% | 56% | 10% | 9% | 2% | 2% |
| 8. The academic offerings at your unit are reflective of the current job market. | 17% | 47% | 19% | 8% | 2% | 8% |
| 9. The vocational offerings at your unit are reflective of the current job market. | 21% | 50% | 11% | 9% | 3% | 6% |
| 10. Inmates are trained through educational programs in prison to obtain jobs upon release. | 20% | 55% | 12% | 8% | 2% | 3% |
| 11. Inmates are able to find jobs in the areas for which they have received academic/vocational training in prison. | 5% | 24% | 26% | 6% | 2% | 36% |
| 12. Education can break the crime cycle. | 46% | 38% | 8% | 2% | 2% | 4% |
| 13. Education helps reduce the desire of inmates to commit crimes. | 27% | 42% | 14% | 6% | 2% | 8% |
| 14. There is little a teacher can do to overcome education problems due to an inmate's past experience. | 2% | 5% | 11% | 34% | 47% | 2% |
| 15. Teachers in this unit know the material they teach. | 51% | 45% | 2% | 1% | 0% | 1% |
| 16. Teachers in this unit care about student/inmate needs. | 46% | 45% | 6% | 2% | 0% | 1% |
| 17. Teachers expect students to do their best. | 45% | 46% | 5% | 3% | 0% | 1% |
| 18. Public tax dollars are being used wisely to support education in WSS. | 40% | 38% | 8% | 7% | 4% | 4% |
| 19. The people of Texas support inmate education. | 7% | 30% | 21% | 13% | 5% | 23% |
| 20. Sufficient opportunities are provided in WSS for student services (e.g., counseling, speech therapy, health). | 19% | 45% | 12% | 13% | 4% | 7% |
| 21. The educational programs adequately provide the socialization which is needed to prepare inmates for a life of legitimate work. | 15% | 44% | 19% | 13% | 3% | 7% |
| 22. The following are essential to a successful corrections education program: | | | | | | |
| Basic skills education | 73% | 25% | 1% | 0% | 0% | 1% |
| Vocational education | 71% | 23% | 1% | 0% | 1% | 3% |
| Socialization skills education | 64% | 28% | 3% | 1% | 0% | 4% |
| 23. Inmates should be given reduced custody for participating in education programs. | 8% | 21% | 22% | 27% | 13% | 8% |

PART C:

**DIRECTIONS:** We would like your opinion about the educational environment in the Windham School System. For each item, please indicate whether you feel WSS is excellent (E), good (G), fair (F), poor (P). Please circle the appropriate response (E, G, F, P) located to the right of each item. If you feel you do not have enough information to give an opinion, circle the don't know (DK) response.

| | | E | G | F | P | DK | Mean |
|---|---|---|---|---|---|---|---|
| 1. | The Board of Criminal Justices' knowledge of the educational needs of inmates. | 10% | 26% | 21% | 12% | 31% | 2.5 |
| 2. | The Board of Criminal Justices' knowledge of the operations of the WSS. | 10% | 28% | 18% | 12% | 32% | 2.5 |
| 3. | Windham School Board members' work at setting or revising policies for the WSS. | 13% | 35% | 20% | 7% | 26% | 2.7 |
| 4. | The commitment of the TDCJ-ID for corrections education. | 17% | 35% | 24% | 13% | 12% | 2.6 |
| 5. | The commitment of the TEA for corrections education. | 19% | 35% | 15% | 8% | 23% | 2.8 |
| 6. | The WSS superintendent's work as the instructional leader of WSS. | 30% | 35% | 17% | 11% | 7% | 2.9 |
| 7. | The WSS superintendent's work as the chief administrator (manager) of this school system. | 34% | 34% | 15% | 9% | 8% | 3.0 |
| 8. | Principals' work as the instructional leaders of their units. | 31% | 42% | 16% | 9% | 2% | 3.0 |
| 9. | Principals' work as the managers of their staff and teachers. | 33% | 44% | 14% | 8% | 1% | 3.0 |
| 10. | Principals' work in communicating with security staff. | 33% | 43% | 15% | 4% | 6% | 3.1 |
| 11. | The feedback provided to teachers in your unit about their teaching performance. | 32% | 39% | 21% | 6% | 3% | 3.0 |
| 12. | Teachers' work in meeting student/inmate individual learning needs. | 37% | 53% | 6% | 3% | 1% | 3.2 |
| 13. | Teachers' work in communicating with security staff. | 28% | 50% | 16% | 5% | 2% | 3.0 |
| 14. | Teachers' attitudes about their jobs. | 28% | 48% | 16% | 7% | 2% | 3.0 |
| 15. | Student/inmate ability to learn. | 8% | 48% | 34% | 8% | 2% | 2.6 |
| 16. | Student/inmate school work. | 8% | 49% | 34% | 6% | 4% | 2.6 |
| 17. | The amount of time students are available for class. | 23% | 58% | 16% | 3% | 1% | 3.0 |
| 18. | The condition in which classrooms are kept. | 31% | 54% | 11% | 3% | 0% | 3.1 |
| 19. | The opportunities provided by the WSS to improve the skills of teachers. | 16% | 37% | 26% | 19% | 2% | 2.5 |
| 20. | The opportunities provided by the WSS to improve the skills of principals. | 12% | 25% | 13% | 9% | 41% | 2.7 |
| 21. | The WSS' commitment to making the WSS a better place in which to work. | 21% | 37% | 21% | 15% | 6% | 2.7 |

## PART D:

1. Are the inmates who would benefit most from academic or vocational education programs provided by the WSS actually receiving these educational services?

| | |
|---|---|
| Yes | 82% |
| No | 12% |
| Don't Know | 1% |
| No Response | 5% |

**COMMENTS:**

| | |
|---|---|
| Enroll only students who put forth effort | 10% |
| Provide excellent opportunity | 6% |
| Only if the inmate wants to learn | 4% |
| Want more vocational variety | 3% |
| Other | 15% |
| No Response | 62% |

2. Using a 1-5 scale **(5 being the highest score)**, please rate the combined efficiency and effectiveness of each of the following district-wide services in the Windham School System (WSS).

| | Mean |
|---|---|
| Instructional Services | 4.0 |
| Maintenance Services | 3.6 |
| Custodial Services | 3.7 |
| Technical Management | 3.6 |
| Personnel Services | 3.5 |
| Inmate Tracking | 3.8 |
| Financial Services | 3.5 |
| Staff Development | 3.5 |
| Facilities | 3.6 |
| Purchasing | 3.2 |
| Planning and Budgeting | 3.3 |

3. What ideas do you have to improve the overall efficiency and effectiveness of the Windham School System? Please attach an additional page with comments, if needed.

**COMMENTS:**

| | |
|---|---|
| Better management | 21% |
| Facility changes | 8% |
| More professional development | 6% |
| Like WSS | 5% |
| Purchasing problems | 5% |
| Have no voice | 4% |
| In-service program | 4% |
| Vocational training emphasis | 3% |
| Don't force school on inmates | 3% |
| Misguided incentive | 3% |
| Smaller classes | 3% |
| Other | 38% |
| No Response | 40% |

[Survey response rate is 50%]

# MANAGEMENT AND PERFORMANCE REVIEW OF THE CORRECTIONS EDUCATION PROGRAM (CEP)* IN PRIVATE UNITS

## SURVEY OF PROFESSIONAL EDUCATION STAFF
(n=33)

**PART A:**

1. I think the overall quality of education in the CEP is:

| | |
|---|---|
| Excellent | 24% |
| Good | 58% |
| Fair | 15% |
| Poor | 0% |
| Don't Know | 3% |

2. I think the overall quality of education in CEP is:

| | |
|---|---|
| Improving | 70% |
| Staying the Same | 9% |
| Getting Worse | 9% |
| Don't Know | 3% |
| No Response | 3% |

Students are often given the grades A, B, C, D and F to denote the quality of their work. Suppose the teachers and administrators were graded the same way.

3. In general, what grade would you give the CEP teachers?

| | |
|---|---|
| A | 52% |
| B | 39% |
| C | 6% |
| D | 0% |
| F | 0% |
| Don't Know | 3% |

4. In general, what grade would you give the principals in CEP?

| | |
|---|---|
| A | 67% |
| B | 21% |
| C | 6% |
| D | 3% |
| F | 3% |
| Don't Know | 0% |

5. I am a:

| | |
|---|---|
| Teacher | 88% |
| Counselor | 6% |
| Librarian | 0% |
| Spec. Educ. Assess. Prof. | 3% |
| Supervisor | 0% |
| Other | 3% |

6. How long have you worked as a certified professional in the CEP?

| | |
|---|---|
| Less than 1 year | 9% |
| 1-5 years | 91% |

7. I am:

| | |
|---|---|
| White | 73% |
| Hispanic | 6% |
| Black | 6% |
| Other | 0% |
| No Response | 12% |

8. In what type of unit are you employed? (Check all that apply)

| | |
|---|---|
| Minimum Security | 67% |
| Medium Security | 15% |
| Maximum Security | 6% |
| Close Custody | 0% |
| Other | 18% |

9. I am a:

| | |
|---|---|
| Female | 58% |
| Male | 36% |
| No Response | 6% |

* CEP refers to privately-operated Corrections Education Program

**PART B:**

DIRECTIONS: Please indicate whether you strongly agree (SA), agree (A), neither agree or disagree (N), disagree (D), or strongly disagree (SD) with each statement. Please circle the appropriate response (SA, A, N, D, SD) located to the right of each item. If you feel you do not have enough information to give an opinion, circle the don't know (DK) response.

| | | SA | A | N | D | SD | DK |
|---|---|---|---|---|---|---|---|
| 1. | In general, space and facilities in CEP are sufficient to support the instructional programs. | 12% | 33% | 15% | 15% | 21% | 3% |
| 2. | This unit has most materials and supplies necessary for instruction. | 15% | 21% | 3% | 24% | 33% | 3% |
| 3. | There is administrative support for controlling student behavior in this unit. | 33% | 33% | 9% | 6% | 12% | 6% |
| 4. | The emphasis on learning in CEP has increased in recent years. | 30% | 24% | 6% | 12% | 0% | 27% |
| 5. | Most students/inmates are motivated to learn. | 18% | 36% | 6% | 18% | 15% | 6% |
| 6. | Lessons are individualized to meet student/inmate needs. | 24% | 48% | 9% | 9% | 3% | 6% |
| 7. | The curriculum is broad and challenging for most students/inmates. | 18% | 46% | 9% | 18% | 3% | 6% |
| 8. | The academic offerings at your unit are reflective of the current job market. | 9% | 48% | 21% | 3% | 6% | 12% |
| 9. | The vocational offerings at your unit are reflective of the current job market. | 15% | 33% | 21% | 12% | 6% | 12% |
| 10. | Inmates are trained through educational programs in prison to obtain jobs upon release. | 21% | 48% | 15% | 3% | 0% | 12% |
| 11. | Inmates are able to find jobs in the areas for which they have received academic/vocational training in prison. | 9% | 27% | 15% | 6% | 3% | 39% |
| 12. | Education can break the crime cycle. | 42% | 33% | 12% | 9% | 0% | 3% |
| 13. | Education helps reduce the desire of inmates to commit crimes. | 24% | 39% | 18% | 3% | 9% | 6% |
| 14. | There is little a teacher can do to overcome education problems due to an inmate's past experience. | 6% | 0% | 12% | 42% | 36% | 3% |
| 15. | Teachers in this unit know the material they teach. | 48% | 39% | 6% | 0% | 0% | 6% |
| 16. | Teachers in this unit care about student/inmate needs. | 48% | 36% | 3% | 3% | 0% | 9% |
| 17. | Teachers expect students to do their best. | 39% | 36% | 9% | 3% | 0% | 12% |
| 18. | Public tax dollars are being used wisely to support education in CEP. | 18% | 33% | 21% | 6% | 3% | 18% |
| 19. | The people of Texas support inmate education. | 12% | 21% | 18% | 12% | 6% | 30% |
| 20. | Sufficient opportunities are provided in CEP for student services (e.g., counseling, speech therapy, health). | 18% | 24% | 15% | 21% | 12% | 9% |
| 21. | The educational programs adequately provide the socialization which is needed to prepare inmates for a life of legitimate work. | 12% | 30% | 15% | 24% | 3% | 15% |
| 22. | The following are essential to a successful corrections education program: | | | | | | |
| | Basic skills education | 70% | 27% | 0% | 0% | 0% | 3% |
| | Vocational education | 67% | 18% | 0% | 0% | 0% | 15% |
| | Socialization skills education | 67% | 15% | 3% | 0% | 0% | 15% |
| 23. | Inmates should be given reduced custody for participating in education programs. | 15% | 15% | 15% | 21% | 15% | 18% |

**PART C:**

**DIRECTIONS: We would like your opinion about the educational environment in the Corrections Education Program. For each item, please indicate whether you feel CEP is excellent (E), good (G), fair (F), or poor (P). Please circle the appropriate response (E, G, F, P) located to the right of each item. If you feel you do not have enough information to give an opinion, circle the don't know (DK) response.**

| | E | G | F | P | DK | Mean |
|---|---|---|---|---|---|---|
| 1. The Board of Criminal Justice's knowledge of the educational needs of inmates. | 0% | 24% | 21% | 21% | 33% | 2.0 |
| 2. The Board of Criminal Justice's knowledge of the operations of the CEP in the privately operated units. | 0% | 21% | 18% | 27% | 33% | 1.9 |
| 3. Corrections Education Program Board members' work at setting or revising policies for the CEP. | 0% | 12% | 21% | 12% | 54% | 2.0 |
| 4. The commitment of the TDCJ-ID for corrections education. | 3% | 42% | 24% | 12% | 18% | 2.4 |
| 5. The commitment of the TEA for corrections education. | 9% | 36% | 15% | 12% | 27% | 2.6 |
| 6. The CEP superintendent's work as the instructional leader of CEP. | 15% | 9% | 15% | 3% | 58% | 2.9 |
| 7. The CEP superintendent's work as the chief administrator (manager) of this school system. | 15% | 21% | 12% | 6% | 46% | 2.8 |
| 8. Principals' work as the instructional leaders of their units. | 36% | 46% | 6% | 3% | 9% | 3.3 |
| 9. Principals' work as the managers of their staff and teachers. | 39% | 46% | 6% | 3% | 6% | 3.3 |
| 10. Principals' work in communicating with security staff. | 30% | 27% | 30% | 3% | 9% | 2.9 |
| 11. The feedback provided to teachers in your unit about their teaching performance. | 27% | 33% | 24% | 9% | 6% | 2.8 |
| 12. Teachers' work in meeting student/inmate individual learning needs. | 33% | 54% | 9% | 0% | 3% | 3.3 |
| 13. Teachers' work in communicating with security staff. | 15% | 39% | 21% | 18% | 6% | 2.5 |
| 14. Teachers' attitudes about their jobs. | 24% | 39% | 12% | 18% | 6% | 2.7 |
| 15. Student/inmate ability to learn. | 21% | 46% | 24% | 6% | 3% | 2.8 |
| 16. Student/inmate school work. | 24% | 33% | 36% | 3% | 3% | 2.8 |
| 17. The amount of time students are available for class. | 24% | 52% | 21% | 0% | 3% | 3.0 |
| 18. The condition in which classrooms are kept. | 36% | 27% | 27% | 9% | 0% | 2.9 |
| 19. The opportunities provided by the CEP to improve the skills of teachers. | 9% | 21% | 33% | 21% | 15% | 2.2 |
| 20. The opportunities provided by the CEP to improve the skills of principals. | 6% | 15% | 24% | 12% | 42% | 2.3 |
| 21. The CEP' commitment to making the CEP a better place in which to work. | 6% | 27% | 21% | 21% | 24% | 2.2 |

## PART D:

1. Are the inmates who would benefit most from academic or vocational education programs provided by the CEP actually receiving these educational services?

| | |
|---|---|
| Yes | 79% |
| No | 9% |
| No Response | 12% |

**COMMENTS:**

| | |
|---|---|
| Enroll only those who put forth effort | 9% |
| Provided excellent opportunity | 6% |
| Want more vocational education variety | 6% |
| Other | 15% |
| Don't Know | 6% |
| No Response | 58% |

2. Using a 1-5 scale **(5 being the highest score)**, please rate the combined efficiency and effectiveness of each of the following district-wide services in the Corrections Education Program (CEP).

| | Mean |
|---|---|
| Instructional Services | 4.1 |
| Maintenance Services | 3.8 |
| Custodial Services | 3.7 |
| Technical Management | 3.5 |
| Personnel Services | 3.5 |
| Inmate Tracking | 3.8 |
| Financial Services | 3.0 |
| Staff Development | 3.4 |
| Facilities | 3.6 |
| Purchasing | 2.7 |
| Planning and Budgeting | 2.8 |

3. What ideas do you have to improve the overall efficiency and effectiveness of the Corrections Education Program? Please attach an additional page with comments, if needed.

**COMMENTS:**

| | |
|---|---|
| Allow students choice to go to school | 24% |
| Need real budget | 12% |
| Joint effort-staff and administration | 9% |
| Let teachers have voice | 9% |
| Shorter classes | 6% |
| More variety in class | 6% |
| Have consistency in policies | 6% |
| Be a correctional education facility not a school | 6% |
| Other | 12% |
| No Response | 88% |

# APPENDIX C

# STUDENT INMATE SURVEY

[Survey response rate is 52%]

# MANAGEMENT AND PERFORMANCE REVIEW OF THE CORRECTIONS EDUCATION PROGRAMS IN TEXAS

## WSS - PUBLIC
## INMATE SURVEY
(n=1340)

Dear Inmate:
You have been randomly selected to participate in a survey about education programs in Texas prisons. The information and opinions that you provide are very important to us. Please complete the survey and return it to us using the enclosed postage-paid business reply envelope. Your survey responses will remain strictly confidential and you will not be named in any way. Thank you for your cooperation.

**PART A:**

DIRECTIONS: For each of the following items, please place a check ( ✓ ) on the blank line for your answer.

1. I am a:

| | |
|---|---|
| Female | 7% |
| Male | 92% |
| No response | 1% |

2. I am:

| | |
|---|---|
| White | 28% |
| Hispanic | 24% |
| Black | 45% |
| Other | 2% |
| No response | 1% |

3. I have been in this prison unit since:

| | |
|---|---|
| Before 1970 | 1% |
| 1970 - 1980 | 2% |
| 1981 - 1985 | 4% |
| 1986 - 1990 | 33% |
| After 1990 | 55% |
| No response | 4% |

4. I think I will be released by:

| | |
|---|---|
| 1992 | 20% |
| 1993 | 31% |
| 1994 | 12% |
| 1995 | 7% |
| 1996 - 1999 | 8% |
| 2000 - 2005 | 5% |
| After 2005 | 3% |
| No date determined/No response | 13% |

5. a. Have you been in prison before?

| | |
|---|---|
| Yes | 59% |
| No | 40% |
| No response | 1% |

b. If you were in prison before, did you participate in the education program the last time you were in prison? (n=789)

| | |
|---|---|
| Yes | 64% |
| No | 31% |
| No response | 5% |

6. Before I began this prison term, I had a:

| | |
|---|---|
| High School Diploma | 17% |
| GED Diploma | 23% |
| Vocational Certificate | 14% |
| Vocational Diploma | 5% |
| None of the above | 52% |

7. While serving this prison term, I have taken the following types of classes:

| | |
|---|---|
| Basic Skills | 27% |
| High School | 27% |
| College | 20% |
| Vocational | 40% |
| Special Education | 6% |
| English as a Second Language (ESL) | 5% |
| None | 25% |

8. While serving in prison, I received a:

| | |
|---|---|
| GED Diploma | 26% |
| Vocational Certificate | 31% |
| Apprenticeship Certificate of Completion | 6% |
| Associate Degree | 3% |
| Bachelor's Degree | 1% |
| None of the Above | 47% |

9. Do you have the choice of taking or not taking classes?

| | |
|---|---|
| Yes | 70% |
| No | 26% |
| No response | 4% |

10. Are you in a class in your unit now?

| | |
|---|---|
| Yes | 47% |
| No | 51% |
| No response | 2% |

11. Do you want to take classes now?

| | |
|---|---|
| Yes | 76% |
| No | 18% |
| No response | 5% |

12. Do you think the kinds of classes now offered will help you get a job after your prison term?

| | |
|---|---|
| Yes | 77% |
| No | 19% |
| No response | 5% |

*13. What grade would you give your teachers? (n=634)

| | |
|---|---|
| A | 64% |
| B | 21% |
| C | 7% |
| D | 2% |
| F | 2% |
| No response | 4% |

Mean = A-/B+

*14. What grade would you give your school counselor(s)?

| | |
|---|---|
| A | 47% |
| B | 23% |
| C | 13% |
| D | 5% |
| F | 7% |
| No response | 5% |

Mean = B

*15. What grade would you give your school principal?

| | |
|---|---|
| A | 51% |
| B | 21% |
| C | 10% |
| D | 6% |
| F | 6% |
| No response | 6% |

Mean = B

*16. What grade would you give your school library?

| | |
|---|---|
| A | 45% |
| B | 20% |
| C | 14% |
| D | 8% |
| F | 8% |
| No response | 4% |

Mean = B

***Questions 13-16 were evaluated only by those who answered 'yes' to Q10.**

17. What suggestions do you have for making the prison school better?

| | |
|---|---|
| Increase access to classes | 19% |
| Greater selection/variety - college and vocational classes | 16% |
| Improve staff/more teachers/bilingual teachers | 16% |
| Better books/materials/library visitation privileges | 9% |
| Separate bad students/those who don't want to learn | 6% |
| Like school - think it is great | 6% |
| Need to teach special ed/basic skills | 3% |
| If in school, should not have to work | 3% |
| Make school mandatory for all | 2% |
| Other | 8% |
| No Response | 23% |

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[Survey response rate is 67%]

# MANAGEMENT AND PERFORMANCE REVIEW OF THE CORRECTIONS EDUCATION PROGRAMS IN TEXAS

## CEP - PRIVATE
## INMATE SURVEY
(n=67)

Dear Inmate:
You have been randomly selected to participate in a survey about education programs in Texas prisons. The information and opinions that you provide are very important to us. Please complete the survey and return it to us using the enclosed postage-paid business reply envelope. Your survey responses will remain strictly confidential and you will not be named in any way. Thank you for your cooperation.

**PART A:**

**DIRECTIONS: For each of the following items, please place a check ( ✓ ) on the blank line for your answer.**

1. I am a:

| | |
|---|---|
| Female | 2% |
| Male | 97% |
| No response | 2% |

2. I am:

| | |
|---|---|
| White | 31% |
| Hispanic | 24% |
| Black | 36% |
| Other | 4% |
| No response | 4% |

3. I have been in this prison unit since:

| | |
|---|---|
| Before 1980 | 2% |
| 1980 - 1985 | 6% |
| 1986 - 1990 | 12% |
| 1990 or later | 75% |
| No response | 6% |

4. I think I will be released by:

| | |
|---|---|
| 1992 | 33% |
| 1993 | 49% |
| 1994 | 9% |
| No date determined/No response | 9% |

5. a. Have you been in prison before?

| | |
|---|---|
| Yes | 49% |
| No | 49% |
| No response | 2% |

b. If you were in prison before, did you participate in the education program the last time you were in prison? (n=33)

| | |
|---|---|
| Yes | 70% |
| No | 21% |
| No response | 9% |

6. Before I began this prison term, I had a:

| | |
|---|---|
| High School Diploma | 31% |
| GED Diploma | 21% |
| Vocational Certificate | 12% |
| Vocational Diploma | 8% |
| None of the above | 40% |

7. While serving this prison term, I have taken the following types of classes:

| | |
|---|---|
| Basic Skills | 25% |
| High School | 30% |
| College | 30% |
| Vocational | 66% |
| Special Education | 6% |
| English as a Second Language (ESL) | 6% |
| None | 8% |

8. While serving in prison, I received a:

| | |
|---|---|
| GED Diploma | 33% |
| Vocational Certificate | 51% |
| Apprenticeship Certificate of Completion | 12% |
| Associate Degree | 3% |
| Bachelor's Degree | 3% |
| None of the Above | 33% |

9. Do you have the choice of taking or not taking classes?

| | |
|---|---|
| Yes | 79% |
| No | 18% |
| No response | 3% |

10. Are you in a class in your unit now?

| | |
|---|---|
| Yes | 79% |
| No | 18% |
| No response | 3% |

11. Do you want to take classes now?

| | |
|---|---|
| Yes | 90% |
| No | 10% |

12. Do you think the kinds of classes now offered will help you get a job after your prison term?

| | |
|---|---|
| Yes | 75% |
| No | 19% |
| No response | 6% |

*13. What grade would you give your teachers? (n=53)

| | |
|---|---|
| A | 58% |
| B | 19% |
| C | 9% |
| D | 6% |
| F | 2% |
| No response | 6% |

Mean = A-/B+

*14. What grade would you give your school counselor(s)?

| | |
|---|---|
| A | 36% |
| B | 32% |
| C | 15% |
| D | 8% |
| F | 4% |
| No response | 6% |

Mean = B

*15. What grade would you give your school principal?

| | |
|---|---|
| A | 45% |
| B | 24% |
| C | 9% |
| D | 2% |
| F | 9% |
| No response | 9% |

Mean = B

*16. What grade would you give your school library?

| | |
|---|---|
| A | 49% |
| B | 26% |
| C | 4% |
| D | 9% |
| F | 6% |
| No response | 6% |

Mean = B

*Questions 13-16 were evaluated only by those who answered 'yes' to Q10.

17. What suggestions do you have for making the prison school better?

| | |
|---|---|
| Improve staff/more teachers/bilingual teachers | 24% |
| Greater selection/variety - college and vocational classes | 19% |
| Better books/materials/library visitation privileges | 8% |
| Like school - think it is great | 8% |
| Increase access to classes | 8% |
| Separate bad students/those who don't want to learn | 4% |
| Make school mandatory for all | 2% |
| Other | 8% |
| No Response | 33% |

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# APPENDIX D

# RIO CLIENT EMPLOYER SURVEY

# *MANAGEMENT AND PERFORMANCE REVIEW OF THE WINDHAM SCHOOL SYSTEM (WSS)*

## *EMPLOYER SURVEY RESPONSE PERCENTAGES*
## *(n=102)*

First, if you have supervised more than one project RIO client, please refer to the most recently hired client for each of my questions.

1. Is the RIO client who you will be referring to still employed by your company?

| | |
|---|---|
| Yes | 68% |
| No | 32% |

2. Could you briefly describe the position for which the RIO client was initially hired?

| | |
|---|---|
| Miscellaneous labor | 26% |
| Machine operation/service | 13% |
| Residential/commercial maintenance | 10% |
| Kitchen help | 9% |
| Attendant/clerk | 8% |
| Manufacturing/production | 5% |
| Drive/delivery | 5% |
| Landscaping/yardwork | 4% |
| Auto-body repair | 3% |
| Welding | 3% |
| Electronic work | 3% |
| Other | 16% |
| No Response | 1% |

3. Does this position require any special skills that a person might acquire in a vocational training program in high school?

| | |
|---|---|
| Yes | 32% |
| No | 65% |
| Don't Know/No Response | 3% |

**IF YES:** (n=33)

3a. Could you describe these special skills?

| | |
|---|---|
| Vocation training, general | 33% |
| Basic skills | 18% |
| Maintenance abilities | 9% |
| Cashier tasks | 6% |
| Bookkeeping | 6% |
| Math skills specifically | 6% |
| Coordination | 3% |
| Drafting | 3% |
| Team work | 3% |
| No Response | 15% |

4. How many other employees work in similar positions on a typical work day at your specific place of business?

| | | | |
|---|---|---|---|
| No one | 3% | 21-25 | 10% |
| 1-2 | 17% | 26-30 | 3% |
| 3-5 | 25% | Over 30 | 12% |
| 6-10 | 18% | No Response | 1% |
| 11-15 | 7% | | |
| 16-20 | 6% | Mean | 17 employees |

5. How long has/did the RIO client worked/work for your company?

| | | | |
|---|---|---|---|
| 1 month or less | 31% | 7-12 months | 11% |
| 2 months | 15% | 13-18 months | 6% |
| 3 months | 10% | Over 18 months | 3% |
| 4 months | 9% | No Response | 2% |
| 5 months | 5% | | |
| 6 months | 9% | Mean | 5 months |

**IF NO LONGER EMPLOYED BY COMPANY ASK Q.6:** (n=33)

6. You mentioned earlier that the RIO client you are referring to is no longer employed by your company.

Could you tell me why this person is no longer an employee?

| | |
|---|---|
| Client quit | 27% |
| Didn't show up for work | 15% |
| This was a temporary position | 15% |
| Client was rearrested | 6% |
| Client had personal problems | 6% |
| Client was dissatisfied with pay | 3% |
| Client was not qualified | 3% |
| No Response | 24% |

For the next set of questions, I would like you to compare the RIO client on several job- related duties with other employees in your company who work in a similar position.

7. How would you compare the RIO client with most employees in this type of position in terms of their entry level skills.

Would you say the RIO client's entry level skills were/are:

| | |
|---|---|
| Better than most employees | 22% |
| About the same as most employees | 72% |
| Worse than most employees | 5% |
| Don't Know/No Response | 1% |

8. What about the RIO client's overall job performance.

Would you say the client's job performance was/is:

| | |
|---|---|
| Better than most employees | 37% |
| About the same as most employees | 52% |
| Worse than most employees | 10% |
| Don't Know/No Response | 1% |

9. What about the RIO client's attitude towards work.

Would you say the client's attitude towards work was/is:

| | |
|---|---|
| Better than most employees | 46% |
| About the same as most employees | 45% |
| Worse than most employees | 8% |
| Don't Know/No Response | 1% |

10. Compared to other employees, how reliable was/is the RIO client?

Would you say the client was/is:

| | |
|---|---|
| Better than most employees | 37% |
| About the same as most employees | 50% |
| Worse than most employees | 11% |
| Don't Know/No Response | 2% |

11. How would you compare the RIO client's ability to get along with other employees?

Would you say the client's ability to get along was/is:

| | |
|---|---|
| Better than most employees | 28% |
| About the same as most employees | 68% |
| Worse than most employees | 2% |
| Don't Know/No Response | 2% |

12. Based on your experience with this employee (RIO client), how likely would you be to hire another RIO client if the decision were entirely up to you?
Would you say you would be very likely, somewhat likely, not too likely or not at all likely to hire another RIO client?

| | |
|---|---|
| Very likely | 62% |
| Somewhat likely | 30% |
| Not too likely | 3% |
| Not at all likely | 4% |
| Don't Know/No Response | 1% |

13. Based on your experiences, what are the three most important things you believe employers should consider before hiring a project RIO client?

| | |
|---|---|
| Attitude | 58% |
| Dependability/Attendance | 50% |
| Qualifications | 22% |
| Honesty | 21% |
| Ability to learn/Performance | 19% |
| Work history | 15% |
| Crime committed | 13% |
| Personality/Self Esteem | 13% |
| Recommendations | 9% |
| Appearance | 7% |
| Drug free | 6% |
| Work ethnic/Responsibility | 5% |
| No Response | 2% |

14. Many inmates in state correctional institutions in Texas receive some schooling or job training while in prison through the prison school system (Windham School System).

Do you recall if the RIO client you have been referring to in previous questions received any such pre-college, academic, or vocational education while in prison?

| | |
|---|---|
| Yes | 16% |
| Maybe | 5% |
| No | 24% |
| Don't Know/No Response | 55% |

15. In your opinion, should the state's prison school system focus secondary education efforts on teaching inmates:

| | |
|---|---|
| K - 12 Basic skills such as reading, writing, and math | 3% |
| Vocational or job training | 5% |
| Both K - 12 Basic skills and vocational training equally | 91% |
| Don't Know/No Response | 1% |

For statistical purposes only, we need some information about the RIO client employed by your company that you have been referring to in previous questions.

16. Is this employee (RIO client) male or female?

| | |
|---|---|
| Male | 88% |
| Female | 12% |

17. What is the race of the employee?

| | |
|---|---|
| White | 40% |
| Black | 26% |
| Hispanic | 34% |

18. Approximately how old was the employee when initially hired by your company?

| | |
|---|---|
| 20 years old | 5% |
| 21 years old | 4% |
| 22 years old | 6% |
| 23 years old | 2% |
| 24 years old | 9% |
| 25 years old | 9% |
| 26-30 years old | 22% |
| 31-35 years old | 23% |
| 36-40 years old | 10% |
| Over 40 years old | 5% |
| No Response | 6% |
| Mean | 29 years old |

19. Approximately how long was the employee in prison before he/she was hired by your company?

| | |
|---|---|
| 1 year or less | 19% |
| 2 years | 16% |
| 3-5 years | 4% |
| Over 5 years | 6% |
| No Response | 56% |
| Mean | 3 years |

20. Could you estimate the employee's hourly wage when initially hired by your company?

| | |
|---|---|
| \$3.25 - \$4.00 per hour | 6% |
| \$4.01 - \$4.25 per hour | 24% |
| \$4.26 - \$4.50 per hour | 14% |
| \$4.51 - \$5.00 per hour | 30% |
| \$5.01 - \$6.00 per hour | 12% |
| \$6.01 - \$7.00 per hour | 9% |
| \$7.01 - \$9.00 per hour | 4% |
| No Response | 2% |
| Mean | \$5.04 per hour |

Again for statistical use only, we need to know a few things about you.

21. How many years have you been employed by this company?

| | |
|---|---|
| 1 year or less | 12% |
| 2 years | 18% |
| 3-5 years | 19% |
| 6-10 years | 21% |
| 11-15 years | 15% |
| 6-10 years | 21% |
| 16-20 years | 7% |
| 21-25 years | 4% |
| Over 25 years | 5% |
| No Response | 1% |
| Mean | 9 years |

22. How old are you?

| | |
|---|---|
| 20-25 years old | 2% |
| 26-30 years old | 15% |
| 31-35 years old | 15% |
| 36-40 years old | 13% |
| 41-45 years old | 14% |
| 46-50 years old | 15% |
| 51-55 years old | 13% |
| 56-60 years old | 6% |
| Over 60 years old | 8% |
| No Response | 1% |
| Mean | 43 years old |

23. What is your race?

| | |
|---|---|
| White | 79% |
| Black | 4% |
| Hispanic | 11% |
| Other | 4% |
| No Response | 2% |

24. Finally, is there any additional information or comments you would like to share with us and the State Comptroller that would better prepare parolees to join the workforce following their release from the state prison system?

| | |
|---|---|
| Pleased with client | 14% |
| Clients need to learn basic skills | 13% |
| Clients need training to adjust outside of prison | 13% |
| Employees should receive more information on clients, i.e, their crime(s) committed | 9% |
| WSS should focus more on higher education | 8% |
| WSS should provide more opportunities and programs to clients | 7% |
| Clients need to have a good attitude | 6% |
| Client should have job-specific training already | 3% |
| We are dissatisfied with the client | 2% |
| Other | 7% |
| No Response | 31% |

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# APPENDIX E

# CORRECTIONS EDUCATION ASSOCIATION STANDARDS

# STANDARDS FOR ADULT AND JUVENILE CORRECTIONAL EDUCATION PROGRAMS

Correctional Education Association
8025 Laurel Lake Court
Laurel, MD 20707

# INTRODUCTION

These **Standards for Adult and Juvenile Correctional Education Programs** represent a milestone in correctional education. For the first time, standards have been developed entirely by and specifically for correctional educators in state and federal correctional agencies.

These standards were developed under the direction of a joint Board of the Correctional Education Association and the Association of State and Federal Directors of Correctional Education with maximum imput from the field. Individual practitioners were encouraged to submit proposed standards through a solicitation in the **Journal of Correctional Education** and had the opportunity to comment on draft standards at public hearings at the regional and national conferences of the CEA. Many took advantage of these opportunities, and the final product was much influenced by their proposals. The draft standards were then fieldtested in a number of adult and juvenile correctional institutions in several states.

It should be noted that although the Board members originally felt that there might be a need for two distinct sets of standards - one for adult and one for juvenile correctional education programs - the experience of the Board, confirmed by the hearings and fieldtests, proved that the set as presented here is equally appropriate for both.

Furthermore, it should be pointed out that these standards address both institutional and system-wide correctional practices. Although we are well aware that it is possible to have an isolated good institutional education program without systemwide coordination, we have developed these standards in the belief that it is essential to have strong systemwide coordination and direction. We believe that all individuals confined to correctional institutions should have access to quality education, regardless of the specific institutional assignment or the number of transfers between institutions. To ensure that this occurs, all jurisdictions need central coordination and a degree of uniformity among programs and curricula.

These standards are intended to serve a number of purposes, chief among them as a tool for self-evaluation and goal-setting. We hope that all correctional educators will assess their current programs and practices in the light of these standards and develop plans and set timelines to reach full compliance.[1] We hope that these standards will serve a number of additional purposes. They can be used as a training tool for correctional educators in pre- or in-services settings. They can be used as guidelines for judges and lawyers in litigation, by planners involved in facility construction or renovation, and by state agencies and accrediting bodies in monitoring or evaluating correctional education programs. Furthermore, they could be of use to legislators and others in charge of allocating monies for correctional education programs. We also hope that these standards will assist in raising the priority of correctional education within correctional agencies and making quality programs more readily available to correctional clients.

If standards are to do their job, they must not remain static but change with time and development. This is the first edition only, a way to get started. After review, self-evaluation, and other efforts to comply with the present set of standards; correctional educators should feel free to propose changes as well as additions or deletions.[2] These standards are for and by the field; they must be allowed to change and grow with the field.

The CEA stands for the belief that good educators and good programs can and do make a positive change in many individuals' lives. These standards will, hopefully, help all of us to forge a stronger and more cohesive profession and develop higher quality correctional education systems and programs nationwide.

Osa D. Coffey
Chair, Correctional Education
Standards Development Board
March, 1988

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[1] *A self evaluation form is provided in the back of this booklet.*

[2] *A form for proposing additions, revisions, or deletions is provided in back of this booklet.*

# STANDARDS FOR ADULT AND JUVENILE CORRECTIONAL EDUCATION PROGRAMS

## 1. Administration

**001 PHILOSOPHY AND GOALS: There is a written statement describing the philosophy and goals of the system-wide correctional education program. (Mandatory)**

**DISCUSSION:** The written philosophy and goals statement clarifies the specific legislative mandate which authorizes the provision of educational services. It further explains the role of education within the framework of the overall agency mission. It communicates the agency's support for educational programs to meet the needs of individual students, the correctional system, and society. The written philosophy statement is made available to education staff and students and serves as a vehicle to communicate the purpose of the correctional education program to the legislature, agencies providing funding or services, and the public.

**002 WRITTEN POLICY AND PROCEDURE: There are written policies and procedures for the operation of system-wide educational services. (Mandatory)**

**DISCUSSION:** Written policies and procedures are essential to ensure the quality of educational services, accountability on the part of staff, uniform quality among institutional programs, equitable treatment of students, and compliance with state and federal law and regulations. In order for policies and procedures to be meaningful, there is a system for monitoring compliance. There is also provision for annual review and up-dating of policies and procedures with input from both central office and institutional staff. Educational staff are informed about the policies and procedures upon entry into the system and have easy access to updated policies and procedures throughout the period of employment. The policies and procedures are public documents.

**003 ORGANIZATIONAL CHART: There is an organizational chart for the educational delivery system which portrays the chain of command, the administrative units and sub-units, and the functions and activities pertaining to these.**

**DISCUSSION:** Orderly and effective delivery of educational services requires that employees know the chain of command and their role within the overall education delivery system. Therefore, each employee is made aware of the organizational chart upon employment and has easy access thereto throughout employment. The chart is reviewed annually and revised as needed.

**004 BUDGET: There is a line item budget for the system-wide correctional education program and/or for each separate institutional education program administered by the chief correctional education position in the state. (Mandatory)**

grams must not compete with other correctional, non-educational expenses. To safeguard the quality, continuity, and scope of the education program, there must be assurance that funding allocated for education is so spent. The chief correctional education position should be in charge of developing the budget with input from institutional educational staff and in coordination with appropriate institutional and central office administrative staff. This position is also responsible for the preparation of annual fiscal reports, detailing sources of income and expenditures.

**005 ACCREDITATION OF PROGRAMS: All educational programs are accredited by a recognized state, regional, and/or professional accrediting body.**

**DISCUSSION:** Correctional education programs must be at least equal in quality and requirements to equivalent programs in the community to ensure that student credits, certificates, and diplomas are accepted by employers and transferable to schools and colleges after release. The accreditation process allows opportunity for self-evaluation and outside evaluation. Accreditation legitimizes the correctional education program and facilitates obtaining additional funding from state, federal, and private sources.

**006 ANNUAL MEETING: The administrative unit responsible for the system-wide delivery of correctional education holds a meeting, at least annually, with representation from each program area and institution, to review and revise current programs, policies and procedures and to plan for improvements, change, and growth.**

**DISCUSSION:** It is essential that a mechanism exists for communication between central office administrative staff and institutional staff as well as among professional staff from different institutions. It is also essential that field staff contribute directly and meaningfully to future direction and the plans of the system-wide education program. Such cooperation improves staff morale and promotes better programs and practices.

**007 MAINTENANCE OF STUDENT RECORDS: A system exists that records accurately and completely the performance and achievement of each student and that ensures students' rights to privacy and confidentiality in accordance with state and federal law. These records are accessible to staff and students.**

**DISCUSSION:** Accurately maintained student files and records are part of staff accountability and are essential for many purposes. Records are utilized for program needs assessments and evaluation. They are needed by students to document achievement, to transfer credits to other educational agencies in the community, and to obtain employment. They are also essential in documenting system achievement as well as needs with the legislature and other funding sources. Student access to their own records promotes fair and accurate reporting and promotes trust and rapport between students and staff.

**008 PROGRAM EVALUATION: There is a written plan and regular time schedule for the system-wide evaluation of educational services. (Mandatory)**

**DISCUSSION:** Regularly scheduled, system-wide program evaluations are essential for planning and promote quality programming, efficiency of operations, and accountability on the part of both administrative and instructional staff. Whether conducted by inside staff or persons contracted from the outside, the periodic evaluation is outlined in a written plan setting forth specific evaluation criteria in measurable terms to include all components of the overall education program.

### 2. Staff

**009 CHIEF CORRECTIONAL EDUCATION ADMINISTRATOR: Each correctional education system has a designated chief administrator responsible for the development, administration, operation, supervision, and evaluation of all education programs and staff. (Mandatory)**

**DISCUSSION:** No system can develop effective educational programs and services without the leadership of a designated chief educational official. Whether the position is a line of direct authority or not, and whether the position is termed Superintendent, Director of Correctional Education, Educational Coordinator, or other; it must have authority over educational personnel selection, programs, and the education budget to function effectively.

**010 LOCAL EDUCATIONAL LEADERSHIP: Each local correctional education program has a designated educator responsible for the instructional program and the coordination and supervision of educational staff. (Mandatory)**

**DISCUSSION:** Depending on the size of the local program, this position may be a full-time "Principal" or a "Lead-Teacher" with some instructional duties. This position is essential in order to have local educational leadership, supervision, and accountability. This position also serves as the key link with the institutional administration and the chief system-wide educational position.

**011 PERSONNEL POLICIES: Written policy and procedure provide for the selection, retention, evaluation, professional growth, and promotion of educational personnel on the basis of specified qualifications and state and federal law. (Mandatory)**

**DISCUSSION:** Besides qualifications and experience, considerations for employment must include affirmative action and equal employment opportunities. There should be a direct link between qualifications and job descriptions. Artificial barriers to employment must be removed. Special efforts should be made to accommodate minorities who are over-represented in the correctional population. The policies should also provide for emergency or temporary certification to facilitate the hiring of qualified personnel who lack complete or current certification. The policies also establish the requirements for recertification. Policy also assures staff that they will have opportunities for growth through in-service activities, participation in professional organizations, and additional higher education and delineates the provisions for release time and compensation for such activities.

**012 PRE-SERVICE TRAINING: New correctional education staff are provided preservice orientation and training in the procedures and principles of providing educational services in a correctional setting.**

**DISCUSSION:** All correctional employees have specific responsibilities as employees of public safety facilties. Pre-service training is as essential for educational staff as for other staff to ensure the safe operation of the broader facility as well as of the education programs within that facility. In addition to the general pre-service training for all correctional personnel with inmate contact, teachers new to correctional education need to have specialized orientation and training relative to their specific teaching and related duties, e.g.,in areas such as principles of adult or remedial education, individualized scheduling and programming, competency-based materials and curricula, and record keeping. Ethnic and cultural minorities are often over-represented in correctional populations. It is therefore essential that the pre-service training is designed to ensure that all staff are sensitive to and knowledgeable of the needs, interests and culture of students of different races, ethnic origins, religions, and language. **NOTE:** This standard is to be considered an addition to ACA Standard 2-4091 which requires 40 hours of pre-service and an additional 40 hours of in-service training during the first year of employment for all staff having direct contact with clients.

**013 STUDENT/TEACHER RATIO: A student/teacher ratio is established which meets the demands of the programs taught at local, state, and federal laws and regulations. (Mandatory)**

**DISCUSSION:** The quality of instruction and student achievement are often affected by the amount of teaching time required of and the number of students assigned to each teacher. Teaching loads for each position and the student/teacher ratio for each class must be based on careful analysis of each program area, type of facility setting, degree of individual attention required by different types of inmates, and allow for additional, non-instructional duties and preparation time. The analysis is also used to determine staff needs.

**014 COMPARABLE PAY: Education staff in corrections are compensated at rates at least commensurate with those of public school employees with comparable qualifications, experience, and assignments employed in adjacent local education agencies. (Mandatory)**

**DISCUSSION:** Comparable pay for correctional educators is essential in order to recruit quality staff, provide programs of at least equal quality to those provided in the community, and to gain acceptance of correctional programs and student achievement by other educational institutions and prospective employers. Comparable pay permits qualified educators to choose correctional education as a career.

**015 BUSINESS AND INDUSTRY INVOLVEMENT: There is a system for involving vocational instructors with business and industry to keep them up-to-date in business and industry activities and technology.**

**DISCUSSION:** The development and maintenance of contacts with business and industry are important for vocational programs and should be planned and coordinated. Such contacts keep staff current with free world work settings and allow them to design institutional instruction which is realistic and relevant to the needs and requirements of the current labor market.

### 3. Students

**016 STUDENT ORIENTATION: Each school has an on-going orientation program to inform prospective students of available educational programs their nature, requirements, and established admission criteria. (Mandatory)**

**DISCUSSION:** In order for prospective students to be aware of the educational options available in the system and/or institution, there must be a formal orientation program. The information should be updated periodically and made available to counselors, classification personnel, and instructional staff.

**017 CLASSIFICATION: There is a process for providing educational input into both the system-wide and the institutional classification system.**

**DISCUSSION:** Classification is the key means of matching inmate needs with available programs and the needs of the system with inmate workers. Classification staff and classification policies and procedures can directly influence many aspects of the education program. It is therefore important that education staff is involved in the development or revision of classification policies and procedures to ensure that appropriate testing instruments and practices are employed to determine the educational level and needs of each potential student entering the system. It is equally important that education staff keep classification personnel informed about available education programs and their requirements. Shared policies, procedures, and program information as well as occasional joint meetings can facilitate interchange between classification and education staff.

**018 EDUCATIONAL INCENTIVES: There is a system of incentives, backed by departmental directives, which ensures that functionally illiterate, non-English speaking, and learning handicapped offenders have access to appropriate education programs and are encouraged to enroll and remain in such programs until they have reached a level of functional competency or the maximum level they can achieve.**

**DISCUSSION:** Basic academic and social skills are a necessity in order to function in society. They are a prerequisite for further education, functioning on a job, and understanding the rules and regulations of institutional life. Since many correctional clients are school drop-outs, adverse to and/or afraid of education; it is necessary to have strong incentives to bring them into the basic programs they need. Incentives may include pay, access to preferred jobs and/or education programs after completion, or other special privileges. Some correctional agencies have found various forms of "mandatory" education policies effective in reaching and serving inmates with high or special needs. Potential students are made aware of the agency's policies in this regard at intake into the system and/or institution.

**019 SCREENING, ASSESSMENT, EVALUATION: There is a system for initial screening, assessment, and evaluation to determine the educational needs of each person at intake. (Mandatory)**

**DISCUSSION:** In order to meet the needs of each individual and to place him/her in an appropriate program, there must be a systematic procedure for screening, assessment, and evaluation at intake. At a minimum, this process should contain standardized IQ and academic achievement tests. It is also essential that staff are qualified to interpret tests and decide when additional testing is needed, e.g., in order to determine whether an individual suffers from any handicapping condition which would require special educational services. Provision is made for testing limited or non-English speaking students in their own language and for giving special assistance or non-verbal tests to illiterates.

**020 WOMEN'S EQUITY: Institutions housing females provide educational programs, services, and access to community programs and resources equitable with those provided for males within the system. (Mandatory)**

**DISCUSSION:** Females should not be denied equal access to comparable quality programs and services solely on the basis of their small proportion of the total offender population and the relatively higher per capita cost of educational programs for that population. Equality is defined in terms of range and relevance of options, quality of offerings, staff qualifications, instructional materials and equipment, and curriculum design. Educational programs for females–while including programs specifically designed for special needs of women--should not be limited to traditional programs for women.

**021 INDIVIDUAL PROGRAM PLAN: An individual program plan is developed for each student.**

**DISCUSSION:** The individual program plan should include educational objectives to be reached, the sequence of courses of study, approximate timeframes for achievement, and supplementary services required. For special education students eligible under P.L. 94-142, an Individual Education Plan (IEP) is developed in accordance with the rules and regulations of that law.

**022 STUDENT EVALUATION: There is a program for regular evaluation of student progress to document/certify the attainment of grades, credits, competencies, certificates, and/or diplomas.**

**DISCUSSION:** Periodic and regular evaluation of student progress is important to both students and instructors. It provides an opportunity to measure achievement and can serve as a motivator. It also provides an opportunity to determine whether there are problems which impede progress and take remedial actions. The cumulative record of student achievement serves as a basis for the overall evaluation of a system's and institution's programs and staff.

**023 LICENSING AND CREDENTIALLING: Each institution or system provides students the opportunity to enter and complete academic and vocational programs which lead to credentials, diplomas, or licenses meeting local, state, and federal requirements.**

**DISCUSSION:** Licensing and other forms of credentialling may be crucial for the releasee in finding a job and becoming economically self-sufficient. In accordance with state rules and regulations governing the licensing of specific trades, the system creates programs which, if completed, would lead to the attainment of a state license. Similarly, opportunities for apprenticeship programs should be provided.

### 4. Programs

**024 COMPREHENSIVE EDUCATION PROGRAM: The system offers a comprehensive education program, available to all who are eligible, that includes general education, basic academic skills, GED preparation, special education, and vocational education, supplemented by other programs as dictated by the needs of the institutional population. (Mandatory)**

**DISCUSSION** Offenders vary greatly in their educational background and functioning. A needs assessment of the institutional population is used to determine the type and number of programs needed to meet identified needs. A comprehensive education program may include–beside the components mentioned in the standard itself–such areas as ESL (English as a second language), social and living skills, health education, pre-employment training, occupational training, computer literacy, and post-secondary education.

**025 CURRICULUM: There are written statements of expected, measurable performance outcomes in each subject area. (Mandatory)**

**DISCUSSION:** Specific and measurable performance objectives for each program provide both students and staff with clarity in terms of what skills and achievement are expected and how these will be measured. Instructional staff should be involved in the development/adoption of these performance objectives, and they should be made uniform throughout the system. Performance objectives should be reviewed regularly with input from staff, advisory committees, and local/state education agency staff to ensure that they are kept current with local and state agency standards and the expectations of business, industry, and the labor market. Performance-based curricula divided into self-contained units facilitate flexible scheduling, individual pacing and programming.

**026 EQUIPMENT, FACILITIES: The educational program is supported with space and equipment meeting state and federal standards and the objectives of the education program. (Mandatory)**

**DISCUSSION:** Adequate space, equipment, and materials are needed in order to provide quality programs which maximize student achievement. Efforts should be made to update equipment and materials and make them comparable with those utilized by programs in the community, e.g., computers, video and film equipment, and current texts.

**027 INSTRUCTIONAL RESOURCE MATERIALS: Institutional education programs are supported by appropriate print and non-print instructional materials, media, and library services.**

**DISCUSSION:** To ensure that the education program is supported with resources, education staff develops close linkages with library/media staff so that they may have input into the selection of print and non-print acquisitions. Coordination is also established to teach students library organization and use. **NOTE:** The standards for correctional libraries issued by the American Library Association (ALA) are endorsed by the CEA and should be used in developing and evaluating institutional library services, whether or not these are under the direct administration or supervision of the education department.

**028 VOCATIONAL TRADE ADVISORY COMMITTEES: Vocational program trade and craft advisory committees are used to enhance vocational education programs.**

**DISCUSSION:** A well-composed trade and craft advisory committee can greatly enhance individual vocational programs as well as overall vocational offerings. These committees can be used to provide information on current trends in the labor market and vocational training in the free world. They can assist in the modernization and updating of curricula, instructional methods, and equipment. They can facilitate job placements of released offenders.

**029 SPECIAL EDUCATION: Special education programs are available to meet the needs of all handicapped students regardless of age. (Mandatory)**

**DISCUSSION:** There is a disproportionately large number of handicapped persons in correctional facilities. They have special academic and vocational needs regardless of their age. Although P.L. 94-142 and many state statutes do not mandate services for the handicapped after the age of 21, the system makes sure that all students with special needs who wish to participate in education are provided the opportunity to do so. Correctional education administrators are familiar with all relevant state and federal laws, rules, and regulations and work closely with state education agency staff to ensure full compliance.

**030 EDUCATION FOR SEGREGATED POPULATIONS: Educational services are available to segregated populations.**

**DISCUSSION:** An increasingly large number of the incarcerated serve time in segregated settings, e.g., protective custody, administrative segregation, medical units, or "death row." Many of them will eventually be released into the general population. They should have the opportunity to participate in education.

**031 POSTSECONDRY PROGRAMS: Accredited postsecondary education programs are made available to eligible students.**

**DISCUSSION:** Individuals who have obtained a high school or GED diploma should have the opportunity to continue their education. Community colleges and/or universities can provide a variety of programs. Cooperative agreements spell out the specific obligations of the participating college and the correctional agency. Students in correctional facilities, like their free world counterparts, need a variety of services supplementary to postsecondary courses. To make sure that such services are provided, these should be spelled out in the college/corrections agreement. Beside instruction the college should at a minimum be held responsible for registration, counseling, applications for Pell Grants and other financial aid, transfer of credits and transfers, scheduled faculty office hours for individual student consultations, and access to library resources.

# APPENDIX F

# TECHNOLOGY MANAGEMENT RECOMMENDATIONS, IMPLEMENTATION STRATEGIES, AND FINANCIAL IMPACT

# RECOMMENDATION

| Finding & Recommendation | Implementation Tasks | Costs |
|---|---|---|
| **FINDING:**<br>No information strategic plan linked to a technology plan.<br>**RECOMMENDATION:**<br>Create an information strategic plan linking technology planning to Windham's educational planning.<br>Implement the actions prescribed in the information technology plan. | (1) Conduct a 2-5 day planning session with top management and Data Processing management to define the key linkages that exist, both within WSS and between WSS and the organizations with which it interacts. Additionally, formulate the strategic educational service vision that will guide WSS in establishing a clear vision for the future. The vision and the linkage analysis provide an overall framework within which the remaining steps of the information strategy planning process can operate.<br>(2) Create an overview entity relationship model of WSS. This methodology maps the business functions hierarchically. It associates functions with organizational units, locations and entities and documents the relationships between the entities that are identified.<br>3) Perform technology impact analysis to survey technological trends and determine how they can be used to run WSS better and to provide opportunities. This attempts to identify and prioritize the opportunities and bring them to the attention of management who can take appropriate action.<br>4) Perform critical success factor analysis to determine what are those areas most critical for success in running WSS. This methodology is concerned with concentrating resources on the few most critical areas. It identifies critical assumptions which need checking, critical information needs, and critical decisions for which decision support systems are needed. | By automating certain functions, hours can be re-directed to more mission critical tasks.<br>Planning assistance will cost $90-125,000. |

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# RECOMMENDATION

| Finding & Recommendation | Implementation Tasks | Costs |
|---|---|---|
| Finding:<br>Teachers are not adequately trained in computer-assisted instruction (CAI).<br>Recommendation:<br>Train teachers in CAI and require lesson plans to contain both education-led and computer-assisted objectives. | (1) Contract with Josten's to train teachers in learning objectives and opportunities to strengthen classroom instruction.<br>(2) Require all curriculum designs show linkages to CAI. | Can be done with in-house staff. |
| Finding:<br>Student access is limited; but once accessed, students stay too long.<br>Recommendation:<br>Move away from the computer lab as the primary delivery system of CAI by expanding the computer CAI locations (housing and classrooms).<br>Change from 3 to 2 hour sittings.<br>Increase inmate CAI hands-on time to 10 hours per week. | (1) Meet with Josten's professionals to determine how to make the CAI more accessible to student inmates. Additionally, phase-in computer hardware to support 10 hours per week of CAI instruction over the next two bienniums.<br>(2) Prepare cost estimates<br>(3) Make budget requests<br>(4) Implement | $3-3.9 million |

# RECOMMENDATION

| Finding & Recommendation | Implementation Tasks | Costs |
|---|---|---|
| Finding:<br>CAI Educational achievement goals are not tracked.<br>Recommendation:<br>Incorporate this process into the operational and technology planning processes by identifying the critical success factors and developing the appropriate tracking and reporting system. | (1) Incorporate into the strategic and technology planning processes.<br>(2) Identify and document the appropriate critical success factors.<br>(3) Develop tracking and reporting requirements<br>(4) Implement. | Can be done with in-house staff. |
| Finding:<br>Private prison CAI educational offerings are not consistent with WSS.<br>Recommendation:<br>Hold private prison educational units the the same standards. | (1) Establish reasonable CAI standards, procedures and expectations including software/hardware platforms, student progress recordkeeping and results.<br>(2) Re-negotiate the contracts.<br>(3) Monitor the standards. | Can be done with in-house staff. |

# RECOMMENDATION

| Finding & Recommendation | Implementation Tasks | Costs |
|---|---|---|
| Finding:<br>Inconsistent hardware & software platforms.<br>Recommendation:<br>Include this in the overall operational and technology planning process. | (1) Include in the overall Windham business planning process.<br>(2) Include in the technology planning process. | Already addressed. |
| Finding:<br>Fragmented and inconsistently available vocational educational programs.<br>Recommendation:<br>Establish a short-term project team of key business, vocational educational, and government leaders to give insight into the development of an effective vocational program that parallels with the labor market needs of business and government. | (1) Determine the deliverables<br>(2) Identify the participants<br>Business: businesses with large labor markets in Texas<br>Government: Highways, state purchasing, Criminal Justice Policy Council<br>Vocational Education: innovative leaders<br>(3) Conduct meetings<br>(4) Deliver final report<br>(5) Implement pilot projects and monitor the results. | Can be done using in-house staff. |
|  | (2) Agree on the deliverables |  |

# RECOMMENDATION

| Finding & Recommendation | Implementation Tasks | Costs |
|---|---|---|
| Finding:<br>No disaster recovery plan.<br>Recommendation:<br>Develop a contingency plan. | (1) Define relevant exposures to "unlikely" events and associated business risks.<br>(2) Prepare supportive rational statements for each exposure.<br>(3) Structure a cost-effective contingency concept that would provide coverage for defined exposures.<br>(4) Project benefits to be achieved.<br>(5) Estimate time and resources required to complete the later development phases.<br>(6) Conduct an analysis to determine those business functions that are critical, necessary or desirable.<br>(7) Review alternatives to support the contingency and judge the economic and technical requirements. Evaluate the approaches to determine whether WSS has the ability to implement and maintain the plan. Fully document the alternative chosen and prepare an implementation plan.<br>(8) Define and develop the procedures, methods, facilities, equipment, personnel, programs, and services required for implementing the alternative selected. Prepare test plans. Conduct pilot tests and implement. | Can be done with in-house staff. |

# RECOMMENDATION

| Finding & Recommendation | Implementation Tasks | Costs |
|---|---|---|
| Finding:<br>Ineffective off-premise backup facilities.<br>Recommendation:<br>Develop effective file retention & backup processes. | (1) Determine areas of exposure to file destruction.<br>(2) Determine the government record retention requirements.<br>(3) Compare record retention standards with exposure and requirements.<br>(4) Identify and evaluate unit recovery problems and their solutions.<br>(5) Inspect and evaluate off-site storage facilities.<br>(6) Inspect and evaluate the faillities used to transport files to the off-site location.<br>(7) Determine special file access restrictions.<br>(8) Evaluate the usability of backup files.<br>(9) Prepare recommendations<br>(10) Implement recommendations. | Can be done with in-house staff. |
| Finding:<br>Lax programmer-access security.<br>Recommendation: | (1) Determine who needs access to which applications and restrict access of others. | Can be done with in-house |

# RECOMMENDATION

| Finding & Recommendation | Implementation Tasks | Costs |
|---|---|---|
| Finding:<br>Lack proven productivity tools.<br>Recommendation:<br>Select & purchase the appropriate tools. | (1) Establish a district-wide definition of CASE.<br>(2) Assess the current development environment.<br>(3) Become familiar with the CASE market.<br>(4) Determine which phases of the systems development life cycle should be automated.<br>(5) Develop a set of matrices.<br>(6) Use the matrices to produce a final requirements document.<br>(7) Define a pilot project.<br>(8) Present the final requirements document to a set of vendors.<br>(9) Control vendor presentation.<br>(10) Limit the number of vendors.<br>(11) Have vendors develop a prototype of the pilot.<br>(12) Select one vendor and rent the package.<br>(13) Produce the pilot project.<br>(14) Evaluate the tools performance.<br>(15) Make a final selection.<br>(16) Measure the quality of the new environment. | Depends entirely on the tools selected. |

# RECOMMENDATION

| Finding & Recommendation | Implementation Tasks | Costs |
|---|---|---|
| Finding:<br>•Records section misplaced<br>Recommendations:<br>•Establish a data administration function within Data Processing. | (1) Re-examine the need for records to reside within the Data Processing Department.<br>(2) Determine if the functionality is better aligned with Curriculum.<br>(3) If so, make an orderly transition | Can be done with in-house staff. |
| Finding:<br>Microfilming is accomplished using a hand-fed filmer and manual entries to a personal computer.<br>Recommendation:<br>Assess the cost-effectiveness of purchasing a new automatic, auto-indexing filming operation. | (1) Itemize the processing steps and time required to currently microfilm and index documents.<br>(2) Document the transaction volume requirements.<br>(3) Give the the major vendors this information and ask for a demonstration.<br>(4) Document the processing steps and time required for the new equipment.<br>(5) Compare to the existing process. Note the differences.<br>(6) Prepare costs-benefit analysis. If signficant improvement and staff positions and other costs can be saved, develop RFP for new equipment. | Can be done with in-house staff.<br>Filmer= $30-50,000 |

# RECOMMENDATION

| Finding & Recommendation | Implementation Tasks | Costs |
|---|---|---|
| Findings:<br>•Untimely, inaccessible & fragmented data throughout WSS.<br>Recommendation:<br>Establish a data administrator who is authorized by top management to maintain the quality of the data bases and decide who get access to them. | (1) Write job description<br>(2) Secure funding<br>(3) Develop interview evaluation criteria<br>(4) Post the position<br>(5) Interview<br>(6) Hire<br>(7) Develop a plan of action<br>(8) Present to management for approval<br>(9) Execute the plan | $40-50,000 |

# RECOMMENDATION

| Finding & Recommendation | Implementation Tasks | Costs |
|---|---|---|
| Finding:<br>1. No formal priority setting process<br>2. No time accounting<br>3. Inadequate DP facilities<br>4. Incomplete standards & procedures<br>5. No audit exception monitoring<br>6. Lengthy procurement approval<br><br>Recommendation:<br>1. Establish executive steering committee to set priorities.<br>2. Implement time accounting for staff timekeeping<br>3. Improve facilities<br>4. Implement standards & procedures<br>5. Track & resolve audit exceptions<br>6. Streamline the procurement process | 1. Steering Committee:<br>•Select participants<br>•Establish meeting rrequency<br>•Ask requestors to resubmit requests with cost-benefit analysis<br>•DP estimates level of effort required to make changes<br>•Review the programming backlog<br>•Determine which requests are warranted<br>•Review and prioritize requests<br>•DP develops an implementation plan & timeline for addressing the backlog | Can be done with in-house staff. |
| | 2. Time Accounting:<br>•Determine requirements<br>•Select a pc-based software package<br>•Modify, nstall, test and document user procedures<br>•Implement<br>•Request regular reports and monitor the results) | Software= $500-1,000 |
| | 3. DP Facilities:<br>•Determine if additional or a larger space is available for Data Processing.<br>•If so, make construction changes to accomdate staff and equipment.<br>•Otherwise, make changes to the existing room to better accomodate staff & hardware. | Con-struction= $1,000 |

# RECOMMENDATION

| Finding & Recommendation | Implementation Tasks | Costs |
|---|---|---|
| Finding:<br>1. No formal priority setting process<br>2. No time accounting<br>3. Inadequate DP facilities<br>4. Incomplete standards & procedures<br>5. No audit exception monitoring<br>6. Lengthy procurement approval<br>Recommendation:<br>1. Establish executive steering committee to set priorities.<br>2. Implement time accounting for staff timekeeping<br>3. Improve facilities<br>4. Implement standards & procedures<br>5. Track & resolve audit exceptions<br>6. Streamline the procurement process<br>-continued- | 4. Standards & Procedures:<br>•Implement | Can be done with in-house staff. |
| | 5. Audit Exceptions:<br>•As final reports are submitted to WSS, have DP management review for findings which relate to technology.<br>•Hold Data Processing accountable for the timely resolutions to these findings. | Can be done with in-house staff. |
| | 6. Procurement Process:<br>•Meet with internal players<br>•Determine who should signoff<br>•Meet with TDCJ players<br>•Determine if the process can be streamlined<br>•Make recommendations<br>•Implement new process | Can be done with in-house staff. |

# RECOMMENDATION

| Finding & Recommendation | Implementation Tasks | Costs |
|---|---|---|
| Findings:<br>•No hardware replacement policy<br>•Lacking functionality on tracking system<br>•Hardware contracts are not managed<br>•No analytical reporting<br>•Software problems are not tracked<br>Recommendations:<br>1. Develop replacement policy<br>2. Improve tracking system<br>3. Write user documentation during design | 1. Replacement Policy:<br>•Develop criteria to determine when a piece of equipment should be replaced.<br>•Write a policy<br>•Monitor the hardware maintenance tracking system for the criteria<br>•Generate an automatic report listing equipment qualifying for replacement<br>•Include in the annual budget request | Can be done with in-house staff. |
| | 2. Tracking System:<br>•Add software tracking functionality<br>•Add hardware data of purchase and cost of each repair fields<br>•Prepare monthly repors highlighting vendor, programmer and application system performance.<br>•Monitor and make adjustments as needed. | Can be done with in-house staff. |
| | 3. User Documentation:<br>•Involve users in the project team<br>•Assign responsibility for writing documentation<br>•Standardize the design<br>•Define the objectives and content of the documentation<br>•Oversee the writing of the documentation<br>•Test and evaluate the documentation<br>•Maintain the documentation after it has been published | Can be done with in-house staff. |

# *APPENDIX G*

# *LIST OF RECOMMENDATIONS FOR THE TEXAS PRISON EDUCATION SYSTEM*

## *CHAPTER 5: PROGRAM EFFECTIVENESS*

### Impact of Education on Employability and the Rate at Which Inmates Return to Prison

Based upon our above findings, we recommend that:

- The Texas Legislature mandate, as a condition of continued funding, that Windham develop and implement a system for annually evaluating the effectiveness of its programs utilizing the following and other appropriate performance measures:

  - impact on rate at which former inmates return to prison
  - impact on costs of incarceration
  - employment success of ex-offenders

  And that Windham, beginning no later than January 1995, annually submit a performance evaluation report to the Legislature based upon the above and other appropriate performance measures.

- Windham establish within an Office of Planning, Budgeting and Evaluation a dedicated staff of professionals to concentrate on developing the performance evaluation system, conducting the evaluations, and producing the annual evaluation report. (This recommendation will be further developed in Chapter 8).

- The TDCJ Board and Windham leadership adopt a new set of operating principles reflecting the following:

  - There are, and will be, limited available resources within the corrections system for the provision of educational programs so that all inmates cannot be served.

  - Some inmates will respond more effectively to education than other inmates.

  - The three specific goals of Windham's education program are:

    - to reduce recidivism
    - to reduce the cost of inmate incarceration
    - to increase the employment success of ex-offenders

  - Windham should specifically design programs which are targeted towards specific inmate groups to maximize the accomplishments of the above three goals.

- Limits should be placed on the amount of free education that a single inmate can receive while in prison so that the state's prison education resources can be used most effectively to reduce the number of inmates returning to prison.

  Because of rate of return of inmates to prison and the employability of released inmates are delayed measures of effectiveness, we recommend that, through careful research, WSS develop a set of directly related intermediate and supporting measures of effectiveness which can be used to provide more timely feedback on how well programs are performing. Examples of intermediate and supporting measures of effectiveness include:

  * Intermediate Measures of Effectiveness

    ♦ Life skills

      - substance abuse free
      - dependability
      - personal relations
      - anger control
      - motivation
      - etc.

    ♦ Employability

      - vocational skills
      - basic education skills

  * Supporting Measures of Effectiveness

    ♦ percent of vocational completers
    ♦ percent of GED
    ♦ literacy grade level
    ♦ percent of inmates with balanced package of basic education, vocational education and life skills

▪ Windham, in the near term (until more complete studies can be completed) should:

- establish a two track education system consisting of:

  * TRACK 1: a set of basic, life skill and vocational education programs specifically designed for inmates who will be in prison for less than one year. The

program should be designed so that it can be completed in 9 months or less.

- **TRACK 2:** a set of basic and vocational education programs specifically designed for inmates who will be in prison for more than one year

- give highest priority to young (ages 18 to 30) inmates who were sentenced for property crimes and have two to three years remaining before release;

- provide educational services to other inmates on a space available basis.

- Windham utilize the savings from expanding the average size of academic classes to increase the number of vocational education classes (by hiring approximately 80 more vocational teachers and expanding the use of vocational classrooms and labs to 45 hours per week).

- TDCJ and Windham officials begin immediately to establish the information database necessary to fully evaluate the impact of Windham's programs and policies on the accomplishment of the school's goals, as recommended above.

## Integration of Education and Other Treatment Programs

- We recommend that an independent analysis be conducted to develop and implement a plan for the consolidation and alignment of the Windham School System within the Texas Department of Criminal Justice, especially as it relates to the following administrative and programmatic functions:

  - Personnel
  - Counseling
  - Classification
  - Substance Abuse Treatment
  - Industries
  - Financial Management
  - Management Information Systems
  - Purchasing
  - Media Services
  - Warehousing

- The plan should consider:

  - co-location of key administrators

  - inclusion of Windham officials in TDCJ treatment program planning meetings
  - inclusion of Windham in the development of TDCJ's annual and other program operations, and facility planning activities
  - the use of Windham to assist in the delivery of other services (e.g., substance abuse training), when appropriate
  - participation of educational representatives in inmate classification, placement, and transfer decisions at all units
  - participation of educational counselors in the development and monitoring of a comprehensive treatment plan for each inmate

- The TDCJ-ID Director should direct the Classification Director to develop a plan for refining statewide policy in a manner that promotes the identification and placement of inmates for educational programs based on criteria designed to promote recidivism reduction. The new system should incorporate an objectively based, risk and needs assessment instrument.

- The TDCJ-ID Director should assign the Classification Director, the WSS Superintendent, and the Health Services Director to develop a plan for the integration of counseling staff at all levels. The goal of the integrated approach should be to coordinate the selection and assignments of inmates for the most appropriate treatment strategies. The plan should differentiate strategies to increase motivation for educational programs, assignment to vocational or academic courses in a manner that recognizes length of stay factors, prioritization of substance abuse and educational needs, and integration of job placement and pre-release activities in a timely manner.

## Relationships Between Vocational Education and Prison Industry Programs

- We recommend that TDCJ establish a joint prison industry/Windham Task Force to develop a joint plan for:

  - the establishment of industry and vocational education programs at all new units;
  - reviewing and revising the types of industry and vocational education programs in existing units;
  - utilizing industry inmate assignments to reinforce inmate vocational training.

Relationships Between Windham and the Schools in the Privately-Managed Units

- The educational section of the TDCJ contracts with the private management corporations should be expanded to include:
    - the names of academic and vocational education programs to be provided
    - student enrollment and annual student contact hours to be achieved
    - student performance goals to be achieved
    - accreditation standards to be achieved
- The annual monitoring of the privately-managed schools should be limited to contract compliance and conducted by TDCJ officials.
- The privately-managed schools should be accredited by TEA using the same standards as used by TEA to accredit Windham's program.
- Representatives from Windham and the four privately-managed schools should meet quarterly to identify and resolve common problems.

Project RIO

- Project RIO's incorporation of recidivism as a goal stands in striking contrast to Windham's resistance to incorporate recidivism as a performance measure. We recommend that RIO's mission statement be fully integrated within the policy and goals of Windham.
- We recommend that the planning initiative to establish recidivism as a measure for Windham be based on the recognition that employment is a critical factor in recidivism reduction. Based on acceptance of that assumption, we further propose that the planning of RIO services be more closely aligned with educational planning to ensure that projects are targeted and established at the most appropriate units. Such units should include prisons where inmates are closest to release, and units which are providing skills training which most closely matches RIO's employment market.
- Recognizing that limited resources are available for RIO, we recommend that the referral criteria be narrowed from 18 months to six months and that the program attempt to provide more intensive counseling and services to offenders for a shorter period.

- We further recommend that Project RIO establish a 1-800-HELP number for RIO clients to call for advise and assistance in obtaining and holding a job or in managing life problems.

Corrections Education in Other States

- The TDCJ Board should review the range of program incentives used in other states to determine the feasibility of expanding rewards for successful performance. Target areas for consideration should include progress reports to the parole board, family visits, and priority work assignments.
- The superintendent and WSS staff should review the vocational education and industry programs in Ohio and the Bureau of Prisons to determine strategies for enhancing the vocational education/industry linkage to promote employability.
- The TDCJ-ID Director and the superintendent should review the organizational structure of Maryland and Virginia to assess their approach to integrating education, industries, classification, and related treatment units through the use of interdepartmental committees.
- The superintendent and TDCJ-ID Assistant Director for Classification should review classification policies in Virginia, Maryland, and Washington to assess the feasibility of incorporating specific educational plans within the initial classification.

## *CHAPTER 6: ORGANIZATION AND MANAGEMENT*

Governance and Administration

*TDCJ and WSS Organizational Structure*

- We recommend that an independent analysis be conducted to develop and implement a plan for the consolidation and alignment of Windham within the Texas Department of Criminal Justice by FY 94, especially as it relates to the following administrative and programmatic functions:
  - Personnel
  - Counseling
  - Substance Abuse Treatment
  - Classification
  - Financial Management
  - Management Information Systems
  - Purchasing

  - Media Services
  - Warehousing
  - Industries

- We recommend that all academic, vocational, and postsecondary education programs continue to be consolidated and coordinated within the Windham School System under the Superintendent of Schools. All WSS policies and procedures should be modified to reflect the actual role for postsecondary education within the system. We further recommend that the name of the system be changed to Windham Education System to reflect the comprehensive responsibility for all levels of education which it serves.

- With the proposed integration of WSS administrative and programmatic functions within TDCJ, we recommend that WSS be funded as a line-item, earmarked appropriation to TDCJ, in a manner similar to the way in which postsecondary education is currently funded. We further recommend that the basis for funding Windham continue to be a contact hour formula similar to the one currently used as a part of the Foundation School Program (FSP) fund.

### *Governance*

- An Education Standing Committee should be established consisting of three members of the current Board of Criminal Justice. Representatives of the Commissioner of Education's Office, the State Auditor's Office, the TDCJ Director, and the Texas Commission on Alcohol and Drug Abuse should serve as ex-officio members of the Education Standing Committee.

- The Education Standing Committee should regularly meet as other standing committees the day preceding each of the six Board meetings annually. A committee chairman should be appointed by the members and have the authority to call additional committee meetings between regularly scheduled Board meetings.

- Training, as to the appropriate role and responsibilities of a School Board and Board members, as defined by the Texas Constitution and the State Legislature, should be provided by the TEA or the Education Service Center(s) to all Board members.

### *Oversight by TEA*

We recommend that TEA:

- As the agency responsible for enforcing the standards and regulations of the State Board of Education as prescribed by the Texas Education Code, immediately provide the Windham School System and the privately-operated prisons with a comprehensive list of statutes, rules, procedures, and reporting requirements with which they must comply.

- Following the development of the above document, standards and a monitoring instrument should be created by the state education agency for the accreditation of this unique school district. (See Appendix E for Corrections Education Monitoring Standards Used in Other States.) An accreditation schedule should be set up and periodic reviews maintained as in other school districts throughout Texas.

- Provide the same level of support to Windham as provided to school districts of comparable size, including the full array of appropriate services and technical assistance available through all Regional Educational Service Centers (not only the ESC for Region 6 which is located in Huntsville) including:

  - staff development for teachers and other personnel
  - curriculum development assistance
  - computer-assisted instructional services
  - training for School Board members

*District Administration and Organization*

The WSS should reorganize its administrative structure to improve operational efficiency and effectiveness. Accordingly, we recommend the following organizational changes in the Windham central office:

- The superintendent should continue to supervise the deputy superintendent with other division managers reporting to the deputy superintendent. This structure relieves the superintendent of detailed management responsibilities which can be effectively delegated. Further, the existing structure permits the superintendent to serve as the primary person responsible for coordinating and interfacing with the Department of Criminal Justice, the Texas Education Agency, and the Board of Criminal Justice.

- The deputy superintendent should continue to directly supervise the four regional administrators who in turn supervise all school principals.

- To reduce the number of other staff reporting directly to the deputy superintendent and to improve the planning and coordination of programs, all other staff should be organized into the following three units:

  - Division of Administrative Services
  - Division of Instructional Services
  - Office of Planning, Budgeting, and Evaluation

- The financial, purchasing, personnel, computer services, warehousing offices, and media center should be grouped into a single administrative services division with a director reporting directly to the deputy superintendent.

- A Division of Instructional Services, reporting directly to the deputy superintendent, should be created with responsibilities for:

  - academic programs (including postsecondary education)
  - vocational programs (including postsecondary education)
  - special instructional services (e.g., guidance and testing)
  - training and development services
  - program evaluation services
  - Project RIO and other special programs

- A planning, budgeting, and evaluation office should be created and report to the deputy superintendent (see chapter 8 for the duties of this office).

- Our recommended organizational structure will:

  - reduce the number of staff directly supervised by the deputy superintendent from 12 (excluding clerical) to a more manageable number of seven.

  - enable the superintendent to continue to focus more on the WSS's educational programs and on overall WSS management direction, and not on detailed administrative and support management issues.

  - group closely interrelated operational systems in the same division so that improvements in operational efficiency and effectiveness can be easily managed by a division director.

  - more clearly assign accountability responsibilities for WSS management.

- The focus of responsibilities for central office divisions and offices should be to provide service to the school units who are responsible for educating inmates. Performance measures should be developed by each office and each division to assess the extent to which quality services are being provided.

### *Role of Regional Staff*

- A regional office should be created and maintained in each of the four regions. These offices should be housed with the TDCJ-ID regional offices in each region.

- All regional staff should be required to reside in their region and spend a majority of the time at the unit level.

- The position of assistant regional administrator should be eliminated.
- Instructional supervisors should be limited to three per region (one each for academic, vocational, and special education).
- Job descriptions of regional administrators should require that they spend at least 50% of their time at the unit level.
- The evaluation of regional administrators, instructional supervisors, and other regional staff should include a component to determine the effectiveness of the services which they provide at the unit level.

### *Governance and Administration in Private Units*

- At both the CCA and Wackenhut units, the corporate headquarters, and especially the education administrator, should more closely administer educational programs to ensure quality control and accountability. Although the Wackenhut units have an assistant warden for programs who serves this role to some extent, the principal should be identified as the educational leader and have the authority and access to the corporate educational administrator.
- A requirement should be established in the contracts with CCA and Wackenhut that their schools must be accredited by TEA using the same standards developed by TEA to accredit Windham.
- TDCJ-ID should continue to annually monitor the operations of the privately-managed schools. The monitoring, however, should be limited to contract compliance. (In other sections of this report, we recommend that a more rigorous, detailed contract be developed with the private corporations.) To assist in monitoring, the contracts should require that the private units submit quarterly reports to WSS regarding:
    - students
    - classes
    - enrollments
    - staffing
    - budgets
    - expenditures
    - performance

## Rules, Policies, and Administrative Procedures

- Following clarification by TEA as to which statutes and regulations corrections education programs must comply with, the Corrections Education Standards Task Force (as called for in section 5.2.5) should conduct a complete review of the policy and procedures manual. The purpose of this review should be to:
    - provide clarification as to which current administrative procedures should be submitted to the Board as policies to be adopted.
    - provide direction as to how to more systematically examine the policies and procedures manual for easier retrieval of documents, including the addition of a table of contents.
    - ensure that the WSS is in compliance with its legal responsibility as it relates to policy adoption; that is, to ensure that all required statutes and regulations have respective corresponding Board-approved policies, when appropriate.
- When policies are submitted to the Board for adoption, complete documentation should be contained in the pre-agenda package which is submitted to Board members prior to the Board meeting, including:
    - the rationale for the creation of a new policy or modification of an existing policy;
    - the new language being proposed and old language being deleted;
    - the reference number of an existing policy being modified or deleted.
- Proposed policies being submitted to the Board for approval and adoption should be placed on the discussion, and not on the consent agenda.
- The WSS private unit monitoring reviews should include an analysis of the Wackenhut and CCA policy manuals to ensure that they are comprehensive and in compliance with contractual requirements.

## School Management

- The TEA should clarify which aspects of school-based management the system is required to implement. Following clarification, the Windham Board should adopt a policy and accompanying procedure which defines school management in the WSS and clarifies the role and responsibilities of the school principal. Principals should be given the authority to administer such mundane tasks as the use of the copying machine and transfer of teachers from one program level to another (for example, Phase I to Phase II) provided the teacher has the required credentials for the new assignment.

- The current practice of frequently transferring principals, which has adversely affected school management in the WSS, should be curtailed. The arbitrary transfer of principals should be limited to five years or more, unless a principal resigns, is promoted, is terminated, or sufficient justification can be provided for the transfer.

- The WSS should revise its policy and procedure for granting leave to school principals. We suggest that compensatory leave be restricted to no more than three consecutive days when school is in session. We further recommend that the regional administrator or his/her designee in the regional office serve as the acting principal when leave is granted to the school principal.

- The WSS should improve the program of establishing annual educational performance goals for each school and hold school administrators responsible for meeting those goals. The principal's contract should specify that, when goals are consistently not met, the principal should be terminated or demoted. When the goals are exceeded, the school administrator and unit teachers should be rewarded with bonuses as a condition within their respective contracts.

- The WSS should implement plans to hold regional administrators and principals accountable for the performance of schools in their areas. When schools in an area consistently fall short of their goals, regional administrators should be demoted or terminated. This condition should be an integral part of the regional administrator's contract. Similarly, when the area schools consistently exceed their performance goals, the regional administrator should receive a bonus as a condition within his/her contract.

- The WSS should augment efforts to provide training for all school administrators.

- The campus improvement plans should be developed in quantifiable terms and assessed annually. TDCJ should require through the management contracts that the private units develop campus improvement plans, and the achievement of the goals and objectives of these plans should be assessed through the monitoring process.

- The principal and educational staff in each school should be fully integrated within the organizational structure of each prison unit, and the principal should operate as a member of the top management team, unless the unit designates an assistant warden for treatment or programs.

- Prior to the renewal of their contracts, both Wackenhut and CCA should be required to develop acceptable plans for alleviating the problem of principals frequently terminating their positions, and ensure TDCJ officials that the problem will be corrected.

- The TDCJ contract with private prisons should ensure that principals in the private units are given appropriate authority to run educational programs in these corrections facilities. They should be given budgets to operate within, supported, monitored, and held accountable for quality educational programs by the corporate headquarters office.

## CHAPTER 7: EDUCATIONAL DELIVERY

### Educational Delivery System

- We recommend that the Legislature repeal the mandate that all inmates without a high school diploma who score less than the sixth grade level on literacy tests be enrolled in classes. Instead, we recommend that TDCJ and Windham carefully target its educational programs toward those inmates who are most likely to utilize their educational experience to obtain gainful employment in the free world and not return to prison upon release.

- Policies regarding inmates in administrative segregation should be revised. Inmates in administrative segregation who have less than a 6.0 score on a standardized achievement test should not be mandatory students (served by the In-Cell Study Program). Instead, the program should provided only to those administratively segregated inmates who request it. To facilitate improved delivery of the In-Cell Study Program, we suggest that participating inmates should be housed in the same cell block(s) at their respective units.

- To improve the potential effectiveness of the educational delivery system, we recommend that:
    - WSS reschedule all classes and testing that are now conducted before 7:00 a.m. to begin at or after 7:00 a.m.
    - WSS experiment with a variety of class lengths to determine the most efficient and effective class length for each program.

## Educational Programs

- The WSS should increase its requirements for the average ADA class size per teacher from:
    - 18 to 22 for regular academic classes;
    - 8 to 12 for special education and ESL classes;
    - 14 to 19 for vocational classes
- The WSS should include in its Annual Performance Report the numbers of participants and the numbers and percentages of completers in each of its academic and vocational programs.
- The WSS should expand Chapter I programs to additional schools that have eligible students who are not being served.
- The WSS should give priority to completing the development and implementation of its ESL curriculum handbook.

## Student Assessments

- The WSS Board should adopt a policy that all new incoming inmates receive their initial E.A. test within two weeks of arrival on the unit and those who are eligible for WSS programs be placed in a program within 30 days of arrival on the unit.
- The WSS should continue its current procedures for student assessments related to E.A. testing, GED testing, and vocational testing but explore the feasibility of transferring its E.A. tests and its vocational segment and final exams (except for the skills performance portion) to computer-assisted testing and scoring systems at the school sites.
- All annual performance reports on prison education should include trend analyses of student assessment results from E.A. testing, GED testing, and vocational testing.

## Program Evaluation Process

- The WSS Board should adopt a policy that all WSS programs are to be monitored annually in terms of performance and cost, and that detailed on-site evaluations be conducted only for those programs that do not appear to be operating effectively and efficiently.

- The WSS should modify its current plans to systematically monitor each school's programs and operations through site visits every three years and, instead, conduct monitoring site visits by exception only for those programs that do not appear to be operating effectively or efficiently.

- The WSS should expand its Policies and Procedures Manual to:

    - provide details of how each program evaluation will assess the extent to which program goals and objectives are being met.

    - include program evaluation procedures for the ESL program and the special education program.

- The WSS should continue to update the outdated (1990) *Program Evaluation* document and produce timely annual updates.

- The WSS should assign responsibility for designing, implementing, and reporting all program evaluations to a single program evaluation office that is independent from the programs it will be evaluating. (The Office of Planning, Budgeting and Evaluation recommended in chapter 5 should serve this function.)

- The WSS should address each of its annual goals in its annual performance report and provide summary data to indicate the extent to which each goal was achieved.

- The WSS should include five-year trend data whenever possible in its presentation of student achievement, program participation, and other key data related to WSS school operations.

## Student Assessment, Tracking and Records

- TDCJ inmate classification policy should be revised to include a comprehensive assessment of offender's educational needs and potential prior to unit assignment. The intent of the policy should be to promote educational placement for those offenders determined most likely to benefit from academic and vocational training. The classification procedure should include the use of a validated, objectively based risk/needs assessment instrument, designed to target specific groups of inmates for priority placement in programs. In addition, the policy should direct that projected length of confinement be considered fully in determining unit and educational placements. The goal of the policy should be to match offenders with programs which they will complete prior to release.

- Methods for improving the flow of educational background information should be instituted. The forthcoming formation of a centralized offender computer file within TDCJ will provide accessibility to existing computer files maintained by probation and parole offices. However, much of the details on education and vocational concerns are not included in existing data files.

- A standardized system of identifying vocational training needs of inmates and assigning them to vocational programs should be developed. In order to improve the method of assigning inmates to vocational training an adequate program of vocational assessment should be instituted. This will include evaluation of vocational skills, aptitudes, and interests, and the coordination of vocational training placements to better match inmate characteristics.

- The system for moving inmates between institutions and release should be monitored to identify additional improvements. Every effort should be made to minimize inappropriate transfers of students during critical times in educational classes or in vocational training. A monitoring process should be designed to bring to attention the number and characteristics of incidents in which inappropriate transfers occur.

- Long range developmental plans should be instituted for improvement of capabilities to evaluate the impact of educational programs. Currently, computerized inmate records do not track many of the outcomes of educational programming. In order to provide sufficient data to evaluate educational program impact, additional information will have to be collected from probation and parole offices, and entered into the centralized inmate data base. Such information would include earnings of offenders, number of days worked, educational programs entered and completed, and reported changes in the quality of life.

## Student Services

### *Guidance Services*

- The WSS should reduce the amount of time counselors spend on paperwork (estimated now to be 40%) and increase the amount of time they spend doing individual counseling (estimated now to be 25%).

- The WSS should increase the amount of staff development and general supervision given directly to counselors by the WSS central office staff.

- The WSS should rewrite its job description(s) for either the guidance counselor position and/or the academic counselor position, since the two position descriptions are now identical.

- The WSS should adopt written policies or procedures for determining the number of counselors assigned to each unit school.

### *Library Services*

- The WSS library services have improved greatly in recent years and appear to be effective and efficient at this time. We recommend no changes in library services at this time.

## *CHAPTER 8: PLANNING, BUDGETING, AND FINANCIAL MANAGEMENT*

### Planning and Budgeting

#### *Windham School System*

We recommend that the Windham School System:

- Establish a separate planning, budgeting, and evaluation office consisting of four professionals plus one support staff by transferring staff from the following offices:
  - Planning and Evaluation (one professional position)
  - Finance (one professional position)
  - Regional Offices (two professional positions and one support position)
- The new planning, budgeting and evaluation office be charged with the following responsibilities:
  - developing (working with TDCJ staff) a data base and annually preparing a report which measures the effectiveness of the correctional education programs utilizing recidivism and other criminal justice performance measures (see Chapter 11)
  - conducting annual studies of the efficiency of Windham operations (e.g., class size analyses, utilization of space, teacher work loads, counselor work loads, etc.)
  - preparing and updating an annual comprehensive multi-year plan for corrections education (including elementary, secondary, and postsecondary academic and vocational as well as all special programs) including the privately managed units which includes:
    - performance goals

        - inmate students to be served
        - programs to be offered at each unit

      * projected enrollments by program by unit
      * projected staffing and resources needed by each unit
      * projected facility and equipment needed by each unit
      * projected revenues by source

  - conducting an annual evaluation to determine whether the goals and objectives contained in the plan were achieved

  - preparing the annual budget for all programs and fund sources in a single comprehensive budget which shows substantive linkage between the WSS planning and budgeting functions

  - working with TDCJ officials to develop all facility plans.

- Increase the average academic class enrollment for budgeting purposes to 20.5 for academic (including pre-release) courses and 18 for vocational courses.

  - The average academic class has 32 student stations (calculated at 20 square feet per student station). Thus, the current average class enrollment of 17 for our sample week was only 53% of the average classroom capacity.

  - Increasing average class sizes to 20.5 students (22 for regular courses and 12 for special education and ESL courses) would either allow the schools to increase the number of academic students served by current staff by 32.2% or decrease the number of needed academic teaching positions by 24%.

  - Increasing the average enrollment per class to 18 would allow Windham to serve 12.5% more vocational students or reduce the number of needed vocational teachers by 11%.

- Conduct a special review of the causes of current low class enrollments and high absenteeism rates, and take appropriate corrective actions.

*Private Units*

- We recommend that CCA establish an annual set of educational performance goals, a plan for meeting those goals, and an educational budget which can be used by the CCA school principals to manage their programs.

- We recommend that the education portion of the TDCJ management contracts with Wackenhut and CCA be significantly strengthened to include for each unit:
    - specific educational programs to be provided
    - specific numbers of annual student contact hours to be achieved
    - specific educational performance objectives to be achieved
    - specific levels of educational counseling to be provided
    - requirements that an annual educational budget be established for each unit and submitted to TDCJ for information
    - requirement that annual education performance and expenditure reports (in the same format as the budget) be submitted for each unit to the TDCJ to provide evidence for contract efficiency and effectiveness.

  We further recommend that WSS monitor the implementation of the above contractual obligations as part of the annual monitoring review. (See chapter 11.)

- We recommend that the Wackenhut Kyle Unit increase its average class sizes from 13 to 20.5 for academic courses and from 15 to 18 for vocational courses.
- We recommend that the CCA Venus Unit increase its average class sizes from 17 to 20.5 for academic classes.

## Accounting, Cost Performance, and Cost Management

We recommend that WSS:

- Establish specific goals for streamlining accounting operations and transaction processing with the implementation of Lone Star general ledger and related sub-systems.
- Continue to annually compare its per ADA costs to the ADA costs of Texas public schools by major function.
- Compare WSS costs to private unit costs and to costs of prison education systems in other states on an annual basis. The results of this analysis could support management s efforts in evaluating the reasonableness of expenditures. It could also provide information on the amount of expenditures in other states

funded with federal grants. This in turn could be used to identify opportunities to increase federal funds for the WSS.

- The following two recommendations apply only if the state continues to find Windham through FSP as a separate independent school district:
  - Diversify its investment portfolio to include higher yielding investments such as the State Treasurers' Tex-Pool. On August 1, 1992 the Tex-Pool rate was 4.0777% while the interest rate on invested CD's was 3.30%. If this spread in rates was consistent throughout the year, WSS could earn an additional $46,662 in interest (assuming an average invested balance of $6,000,000).
  - Increase invested cash balances by sweeping leftover funds in checking into an Overnight Repurchase Agreement. Information to identify opportunities for increasing investment balances could be obtained by requesting a monthly account analysis from the bank. An account analysis would also provide the Business Office with information regarding charges for services.

## Internal and External Auditing

We recommend that:

- TDCJ develop and implement a separate and comprehensive internal audit plan for WSS. The scope of the WSS internal audit plan should include financial auditing, program compliance monitoring, and performance auditing, and should also include private unit education programs.
- WSS disclose all material reclassifications of expenditures in the Annual Performance Report and other financial reports prepared by the Business Office, and disclose the impact on any affected performance measures included in these reports.

## *CHAPTER 9: PERSONNEL MANAGEMENT AND DEVELOPMENT*

### Personnel Policies and Procedures

We recommend that:

- An implementation plan be developed which will provide for the ultimate merger of the WSS personnel system within TDCJ. The plan should include a requirement for WSS teachers to remain with the State Teacher Retirement System (and not the state retirement system) as is currently provided to TEA employees.

- Windham place all staff working under Windham's supervision in Windham's personnel system so that all staff will be subject to the same work calendars and personnel policies and procedures.

- WSS maintain the current 220 and 226 day contracts for all Windham school staff including current TDCJ staff who work in the schools. This will result in all school staff working on the same schedules.

- To reduce the number of teacher substitute days (at $50 each) per year, WSS adopt a policy, to include within the teacher contract, the payment of a $20 bonus to teachers at the end of each year for each day of sick leave earned above six and not taken during the year.

- Windham more closely monitor sick leave taken by employees to prevent abuse by some employees.

- The Board of Criminal Justice adopt a nepotism policy for the employment of all personnel which prevents both abuse and the appearance of abuse.

### Personnel Records

None

### Hiring of Educational Personnel, Affirmative Action, and Compensation

- With the significant growth in staff anticipated due to the opening of eight new units in 1992-93, new employees should be placed on the payroll both the first and third Mondays of each month. The new staff orientation and training programs should be adjusted as necessary.

- The WSS personnel office and the private units should develop new and more aggressive affirmative action plans for hiring additional Black and Hispanic staff. Assistance in the development of the Windham affirmative action plan should be sought from the Education Service Centers and school districts which have been successful in recruiting minority staff.

- The WSS should establish time specific minority staff composition goals in accordance with the provisions of Section 105 of the 1992-93 Texas Appropriations Act.

- As a condition for contract renewal, the private units should be required to submit to TDCJ an action plan for reducing the excessive turnover of teachers and administrators. The plan should include the implementation of a more competitive salary and benefit package. Implementation of the plan should be monitored during the WSS annual review of education programs in each private prison.

## Staff Development

- Additional technical assistance and training should be provided to new unit staff by central and regional administrators prior to and immediately following the opening of a new unit. We recommend that this assistance and training be provided at the unit level.

- The Windham School System should develop and implement a plan to significantly improve in-service training of teachers, counselors, and administrators. The lack of sufficient in-service opportunities is especially apparent among teachers with similar assignments (vocational educators, teachers of basic skills, etc.). (The one exception being special education teachers where ample opportunities are provided through the Education Service Center).

- The Education Service Center in each region (not just Region 6 in Huntsville) should be contacted by each unit to provide both free and fee-based services, especially those services directly related to teaching adult students.

- WSS administrators should seek an exemption from SACS as it relates to teacher certification. If an exemption cannot be granted by SACS, then the WSS should not continue to seek accreditation by this regional accrediting association as certification is not required by state law.

- The WSS policy should not permit courses in elementary and early childhood education to be used to meet the six semester hour in-service requirement; rather course offerings in adult education should be augmented and required.

### Performance Assessment

- All personnel responsible for appraisal of personnel should be trained to reliably use the appropriate evaluation instruments.

- Comparative analysis of TTAS scores, particularly the more subjective exceptional quality (EQ) points, should be conducted annually among the various units and regions for reliability checks.

- Similar comparative analysis of evaluation results by position for the evaluation instruments utilized by TDCJ and the private units should also be conducted annually for reliability checks.

- Through the annual evaluation process, administrators should be held accountable for the service they provide to unit staff (see chapter 5).

## *CHAPTER 10: TECHNOLOGY MANAGEMENT*

### Information Strategic Plan

- We recommend that the WSS develop an information strategic plan. Create an information strategic plan by linking technology planning to Windham's business planning. The plan should answer the following questions:

  - What business are we in?

  - What problems do we have at Windham?

  - What are our critical success factors?

  - What are our strategies?

  - How can we improve information technology to improve our functions and achieve success in strategies and critical success factors?

  - How can we apply information technology to change our strategy?

  - How can we organize Windham (and data processing) to most effectively achieve our goals, business strategy and plans?

  - How can we adopt an action plan to obtain the answers to the first six questions above?

- The WSS should implement immediate short-term solutions if needed. The information strategy planning study almost always reveals certain system needs that should be filled immediately without waiting for more in-depth analysis. These are often critical decision-support systems and executive information systems. A quick-and-crude version of such systems may be implemented quickly using spreadsheet tools, decision-support software, or executive information system software. While there may be a business need to implement certain systems immediately, and this should be done, it should be stressed that the whole point of strategic information planning is to build an information systems architecture for the entire Windham School System. This architecture will enable systems to be created, changed, and inter-linked more rapidly when it exists. There will always be some conflict between long-range architectural planning and immediate results.

- The WSS should conduct the follow-up plan. At the conclusion of the information strategy planning study, individual areas of Windham are identified for in-depth analysis studies. The first study should be one where the payoff is high and one without excessive technical and political complexities.

- The WSS should implement all the information needs that the information strategy planning study identifies. This process will take years, therefore, it is necessary to decide what to do first and, in general, prioritize the stages of implementation. It is desirable that the components of the architecture that are implemented first, should be those that solve immediate problems and have a rapid payoff.

## Computer-Assisted Instruction (CAI)

- The WSS should train teachers in computer-assisted instruction and require lesson plans to contain both education and computer-assisted objectives. Teachers should be taught educational foundations and learning objectives which structure the Josten instructional program and other CAI programs. Once these are acquired, the classroom instruction should require the student to complete complementary CAI programs which will underscore and strengthen the classroom instruction by the self-directed aspects of the CAI. The instructors should be required to incorporate CAI components in each of their lesson plans and review the progress of their students in the CAI system.

- The WSS should expand the access and schedule for CAI. Access to CAI is now limited to 1 session per week for 3 hours. The CAI availability needs to be expanded both in terms of the number of times per week that a student has access and the hours available need to be more flexible. The schedule is being driven by access to the computer labs. More available sites for the CAI equipment need to be located so that access can expand. Consider moving away from the computer lab as the delivery source for CAI and consider moving accessibility to the classrooms and the living units thereby immediately expanding the number of hours available for the inmate on the equipment.

- The WSS should seek the counsel of key business, education and government leaders to develop a vocational education program which will parallel with the labor market needs of business industry and government. Education programs are isolated by site, and are fragmented and scattered through the system. Because the focus is attendance rather than education or skill attainment, there is little attention paid to the opportunities CAI presents in the acquisition of vocationally driven skills. The CAI vocational education programs need to be tied closely with the knowledge and skill needs of business and industry, the opportunities for skill application presented in the Industries Division programs, and the educational goals of WSS (see related recommendation in chapter 6).

- The WSS should hold private prisons to the same CAI standards as WSS. Establish comparable CAI standards for the private prison educational units which should be specified in the contract. Periodically monitor the standards to ensure consistency and continuity in the computer-assisted instruction delivery mechanisms.

## Asset Protection

- We recommend that the WSS develop a workable disaster recovery plan. Develop a contingency plan which describes the actions to be taken, the resources to be used and the procedures to be followed before, during and after an unlikely event occurs that renders Windham's data processing capabilities inoperative. To be effective, the plan must be clearly stated and thorough so that critical operations can resume as rapidly as possible after a disruptive event.

- The WSS should develop a state-wide file retention and backup plan. Analyze file retention and backup needs statewide and develop a plan of action. Additionally, store away from the Windham campus a duplicate copy of critical files.

- The WSS should improve data and program access security by restricting programmer access only to those data files and programs which they are held accountable.

## Data Processing Administrative Processes

- We recommend that the WSS select and purchase the appropriate structured techniques, system design methodologies, project management software, prototyping tools, fourth-generation languages and data base structure to improve data processing productivity.

- The WSS should improve administrative practices.
  - Establish a Data Processing Steering Committee composed of senior management, data processing management and user representative to undertake an immediate review of the programming backlog of user requests to determine which items are no longer needed or which are of sufficiently low priority or impact to no longer warrant the allocation of resources. The first step should be to ask the requesters to recertify whether the request is still necessary, including a cost-benefit justification. The recertified items should be presented to the steering committee for review and prioritization. Data Processing management should then prepare and implementation plan and timeline for addressing the backlog.
  - Select and implement a time accounting software and practices whereby programmers and support staff record their time spent according to categories. An inexpensive package can be purchased and installed very quickly to record, track, monitor and analyze where time is spent within the Data Processing Department.
  - Either expand the current Data Processing facilities or rearrange for a better working environment.
  - Implement and enforce the draft standards and procedures.
  - Track, monitor and resolve agreed-on data processing audit exceptions noted during internal or external audits of the Windham School District in a timely and responsive fashion.
  - Include all technology-related expenditures in the Data Processing Department's budget request to focus on how much money is being spent on technology or whether enough or too much is being spent on technology.
  - Work with TDCJ to streamline the data processing procurement process to eliminate any unnecessary approvals and steps.
- The WSS should make needed organizational changes to address data administration needs and to more strategically place the records function within Windham.
  - Relocate the records section staff and responsibilities, now residing in the Data Processing department, to the Curriculum Department to more closely align the responsibilities.
  - Establish a data administration function with the Data Processing & Records Department reporting to the Director. Data are a district-wide resource. As such, it requires, to be well, and centrally managed. When an information

system includes free-standing data resource containing all data about Windham, it cannot be haphazardly managed by users and others; provision must be made for a new, centrally administered function. Moreover, since each user of data may have different logical relationships and in different contexts, there must be an overriding authority. This will help to ensure validity and consistency in data use, standardization of data names and descriptions, protection from the inadvertent destruction or distortion of data, confidentiality and controlled access to data, and adherence to both regulatory and internal rules of privacy. A data administrator will:

- determine the information needs of Windham;
- create and maintain the data models, insuring that they are as stable as possible
- obtain agreement among users about the definitions and format of data items
- ensure that system builders conform to the data models as far as possible
- resolve conflicts about incompatible representations of data

- Improve hardware and software problem management practices.
  - Develop and implement a policy to address aging and high-maintenance equipment replacement practices.
  - Add the following to the hardware tracking software package to assist in managing hardware and software replacement processes:
    - date of purchase
    - cost of each repair
    - monthly reporting which highlights vendor elapse times, device dependability, recalls, trouble identification and replacement identifications.
    - software trouble calls by application, by program, by programmer
  - In order to reduce telephone support required by users, write user documentation as an ongoing part of the system development project realizing greater user involvement, fewer changes, a shorter development cycle, and reduced costs. The following should be followed when producing user documentation:

  - assign responsibility for writing the documentation
  - identify the audience
  - define the objectives and content of the documentation
  - oversee the writing of the documentation
  - test and evaluate the documentation
  - maintain the documentation after it has been published.

- Evaluate the cost-effectiveness of replacing the existing microfilming equipment with an automatic feeder to improve efficiency and reducing the support staff accordingly.

## *CHAPTER 11: ADMINISTRATIVE AND OPERATIONAL SERVICES*

### Facility Operations

- Wardens should formally require that security supervisors develop and maintain movement and count procedures designed to promote the goal of maintaining a productive educational environment. Procedures should incorporate time limits for the movement of inmates to class and count procedures which minimize teaching disruptions.

- The TDCJ-ID Director, in collaboration with the Windham Superintendent, should direct planning staff to conduct an analysis of the number and nature of disciplinary reports relating to school in units with high levels of disciplinary activity.

- The Windham Superintendent should direct regional administrators to establish a new level of priority for expediting the transaction of purchase requisitions, equipment repairs, and maintenance backlogs.

- The TDCJ-ID Director should issue a policy statement which clarifies the responsibility of wardens to maintain a balanced inmate program which combines both work and school/treatment.

- The TDCJ-ID Director should move immediately to establish a positive, cooperative partnership between the Department and contractors managing private units.

## Space Management and Utilization

- WSS should assign to our recommended (Chapter 8) Office of Planning, Budgeting and Evaluation the responsibility for all space planning, management and utilization analysis. This Office should:
    - annually publish an educational space utilization report for all units. The report should include all testing and postsecondary use of rooms;
    - assess and make recommendations to TDCJ for improving the design layout of existing school unit educational facilities;
    - develop facility utilization and space allocation guidelines to be used to plan new facilities in accordance with program needs;
    - work with TDCJ to make some improvements in the 1,000 bed prototype design and to significantly redesign the educational space in the 2,250-bed prototype to be more efficient to operate and to more nearly meet the needs of planned programs at each of the new units.
- WSS should design and implement a plan which will significantly increase the use of current educational facilities to include:
    - increasing average enrollments per class (see Chapter 8);
    - remodeling existing space to reduce the average classroom size to 500-550 square feet and add more classrooms, where feasible;
    - increasing the use of vocational and academic classrooms/ labs to 45 or more hours per week.
- WSS should establish the number and types of educational programs to be offered at each unit prior to, and as a basis for, determining the amount and design of educational space at each new unit.
- To the extent possible, all educational space should be designed to be flexible so that the space can be easily reconfigured as program needs change in the future.

- The CCA Venus Unit should significantly increase the utilization of its educational space by:
    - reducing the average size of regular classrooms form 817 square feet to 550 square feet;
    - increasing the average weekly room use hours from 32 for regular classrooms and 27 for vocational classrooms to 45;
    - increasing average class sizes from 17 to 20.5 for academic courses.
- The Wackenhut Kyle Unit should increase the utilization of its educational space by:
    - increasing its average class size from 13 to 20.5 for academic courses and from 15 to 18 for vocational courses.

Construction & Expansion Planning

- TDCJ-ID and WSS should reevaluate the utilization of the "prototype" concept for expansion. Population shifts in the last decade, impacting the size and nature of the population, have changed security and program requirements dramatically. The advent of AIDS, the growth and changing nature of female offenders, the rapidly growing evidence of substance abuse and addiction, the spread of young, urban based violence -- all represent changes which affect space, security and program requirements. A prototype design can continue to be used as a starting point but must be sufficiently tailored to meet changing demands within the system.
- TDCJ should review the feasibility of using a facility design similar to the design currently utilized by Wackenhut at Bridgeport for building some of the new TDCJ units. The Bridgeport unit is designed to be highly efficient to manage.
- The avoidance of future operating problems within the educational units of the planned new prisons requires that educational staff be integrally involved in the pre-design planning process. While WSS central office staff had some input into construction planning activities, there needs to be a formal pre-design program planning initiative for education that is fully integrated with other TDCJ-ID capital planning activities.
- The TDCJ-ID Director should invest additional resources in the pre-design program planning process for new units to incorporate not only WSS central staff but also input from unit principals and teachers, including those who work in recently opened units.

- The TDCJ-ID Director should take immediate corrective action to improve procedures for the opening of new units. Measures should include allowance of sufficient time prior to opening for full hiring, staff orientation, and equipment inventory control. The National Institute of Corrections technical assistance services include valuable, federally supported training and planning resources for states opening new prisons. We recommend that the Department apply for such support immediately.

- If the use of the current 1,000 and 2,250 bed prototype designs is continued as the basis for building new prison units:

  - the design of the educational space in the Prototype A (1,000 bed) unit should be altered to replace the U shaped hallway with a more efficient design

  - the design of the educational space in the Prototype B (2,250 bed) unit should be altered to:

    - transferring some of the square feet of space from vocational to regular classrooms
    - reduce the size of regular classrooms to 500-550 square feet per room
    - place the academic and vocational space adjacent to each other

## Custodial Maintenance and Energy

- WSS should require that regional administrators collaborate with unit principals and wardens in the development and implementation of comprehensive energy management plans.

- Regional administrators should be instructed to assign a higher priority to coordinating local unit/central office communications in a manner that reduces delays in maintenance and equipment requests.

- To reduce delays and increase productivity, WSS should examine the feasibility of allowing more autonomy in the local repair of equipment.

- All units should set as a goal that custodial services are provided at a 100% level by inmates.

## Assets Inventory and Management

- The TDCJ-ID Director should examine the feasibility of consolidating all asset management responsibilities relating to education within the agency. The recommendation is consistent with the goal of attaining administrative efficiencies. The audit teams observed that too much of the principal's time is directed towards property management.
- As Windham continues to expand to new units and communities, consideration should be given to adjusting property disposal regulations to maximize the opportunity of providing used equipment resources to local communities. Special attention should be directed towards vocational education equipment and computers. Accountability for property disposal can be maintained through maintenance of the reporting system.
- Following recommendations in chapter 10, improved computer applications should be developed for asset tracking and the reporting of property disposal.

## Purchasing

- The Superintendent should require that all regional administrators facilitate equipment purchasing and repair backlogs by coordinating communications between units and the central purchasing agent.
- The Business Director and Purchasing Agent, in collaboration with unit principals, should establish a priority-based system for processing orders relating to instruction.
- Procedures for "local purchase" option on items under $500 should be exercised when delivery estimates by central office exceed ten days.
- Direct "drop" delivery practices should be expanded on items where purchase is delayed beyond 30 days.
- Procedures should be developed for the expanded use of local equipment repair for items needed for instructional services.
- The Windham Purchasing/Warehouse Departments should ensure that materials needed for regularly planned academic and vocational classes are maintained in stock inventory.
- The superintendent should reduce the number of signatures required for approval on purchase of open market and stock items to those individuals whose review is required to ensure that the purchase is budgeted, and that the purchasing agent has correct specifications. Any other necessary reviews should be conducted on a post-audit basis.

## Warehousing

- Full consideration should be given to consolidating the warehouse function within TDCJ-ID in order to maximize the benefits of large central/regional warehouses serving multiple divisions within the department.
- Interim measures should be adopted and devised to maximize existing space.
    - The procedures for direct delivery of goods to units on open market purchases should be expanded.
    - The unit should adopt a system of more aggressive shelf life monitoring including a quarterly review of inventory.
    - Full consideration should be given to strategies for increasing unit-based storage, especially in new facilities.

## Safety and Security

- TDCJ-ID regional staff should conduct semi-annual checks concerning the currency of emergency plans relating to educational units and staff, and should routinely audit the readiness of principals and civilian staff.
- Wardens should establish specific time standards for the completion of mid-day counts and inmate movement which impact the start-up of afternoon programs.
- The TDCJ-ID director should require that all unit wardens meet regularly with their executive staff and maintain documentation of meetings.
- In units where the principal is not a full member of the executive staff, wardens should include the principal in monthly meetings with the entire executive team and focus on educational issues and problems.
- The TDCJ-ID should initiate a special review of emergency plans for power failures at the CCA-Cleveland Unit to ensure that rules for stabilizing and containing inmate and employee movement are established and enforced.